



Daily Compliance Activity Report

Trade Date: 04/30/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	B	15	10.15	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AAPL	S	15	1.63	n/a	n/a	0.00	0.0
Õ Jack Chernus		AAPL	B	25	442.70	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	AAWW	S	10,000	37.44	n/a	n/a	300.00	0.0
ADAGE CAPITAL MGMT	030	AEO	SS	50,000	19.21	n/a	2-Dec	1,500.00	0.0
ß BUCK CAPITAL MGMT		AEO	S	20,000	19.46	n/a	2-Dec	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	BBY	S	1000	26.06	n/a	n/a	0.00	0.0
GABELLI FUNDS	025	BEAV	B	5,000	63.11	n/a	22-Apr	250.00	0.0
COUGAR TRADING	044	BIG	B	10,000	36.65	n/a	n/a	500.00	0.0
CASTLE ARK	031	BONT	B	33,500	15.23	n/a	26-Apr	1,340.00	0.0
WEXFORD CAPITAL	284	BUD	B	20,000	95.36	n/a	30-Apr	600.00	0.0
Õ Nilsa Vazquez		BWLD	S	100	90.76	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	CAM	B	3,000	61.12	n/a	n/a	120.00	0.0
CASTLE ARK	031	CBG	B	70,060	24.20	n/a	n/a	2,802.40	0.0
RAINIER INV MGMT	033	CBST	S	15,000	46.31	n/a	n/a	600.00	0.0
PRIMECAP MGMT	084	DAL	B	10,800	17.17	n/a	24-Apr	432.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	DEXO	S	800	2.37	n/a	n/a	24.00	0.0
CR INTRINIC INVESTMENT	044	DE	B	10,000	89.22	n/a	11-Jul	350.00	0.0
SCOPUS FUND	041	DG	B	15,000	52.04	n/a	26-Mar	600.00	0.0
DEPRINCE, RACE & ZOLLO	093	DLPH	B	35,000	45.39	n/a	n/a	2,100.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	S	10	2.02	n/a	26-Apr	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	S	15	2.01	n/a	26-Apr	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FINL	S	50	2.00	n/a	26-Apr	0.00	0.0
PLATTE RIVER CAPITAL	046	FINL	S	121,000	19.35	n/a	26-Apr	4,840.00	0.0
CR INTRINIC INVESTMENT	044	GD	B	15,000	73.92	n/a	5-Apr	525.00	0.0
B BUCK CAPITAL MGMT		GNC	S	10,000	45.31	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	GT	B	25,000	12.44	n/a	n/a	750.00	0.0
BRONSON POINT	036	HFC	SS	25,000	49.15	n/a	n/a	750.00	0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	200	23.86	n/a	n/a	0.00	0.0
HIGHFIELDS CAP MGMT	030	IVZ	S	100,000	31.40	n/a	2-Mar	4,000.00	0.0
f JASON ERIC COHEN	FID	IWM	B	4	1.76	n/a	n/a	0.00	0.0
SONICA CAPITAL LLC	025	JAH	SS	13,400	44.82	n/a	n/a	402.00	0.0
WEXFORD CAPITAL	284	JCP	B	62,000	16.41	n/a	30-Apr	1,860.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jack Chernus		LCC	B	500	16.88	n/a	24-Apr	0.00	0.0
Õ Jack Chernus		LCC	B	500	16.88	n/a	24-Apr	0.00	0.0
Õ Jack Chernus		LCC	B	500	16.88	n/a	24-Apr	0.00	0.0
CAERUS GLOBAL	041	LEA	B	35,000	57.78	n/a	29-Apr	1,400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	11,000	57.35		n/a 29-Apr	220.00	0.0
ß BUCK CAPITAL MGMT		LULU	S	10,000	76.01	n/a	26-Apr	non-brg	1.0
CR INTRINIC INVESTMENT	044	LULU	SS	10,000	75.40	n/a	26-Apr	350.00	0.0
GABELLI FUNDS	025	MCP	S	143,212	5.84	n/a	n/a	4,296.36	0.0
LOMAS CAPITAL	040	MET	S	18,500	38.83	n/a	n/a	555.00	0.0
ß BUCK CAPITAL MGMT		MTOR	S	12,500	5.90	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MTOR	S	50,000	5.51	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MTOR	S	53,400	5.72	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MTOR	S	9,100	5.90	n/a	n/a	non-brg	2.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	145,000	34.72	n/a	30-Apr	7,250.00	0.0
TUDOR INVESTORS	028	MWV	B	5,000	34.25	n/a	30-Apr	150.00	0.0
NOMURA CAPITAL	029	MX	S	1,239	16.02	n/a	n/a	37.17	0.0
APEX CAPITAL MGMT.	033	NEM	S	51,400	32.00	n/a	n/a	2,056.00	0.0
PRIMECAP MGMT	084	OII	S	500	70.30	n/a	n/a	20.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	10,000	51.07	n/a	26-Apr	500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PFE	B	10,000	29.46	n/a	n/a	non-brg	1.0
HOLLIS CAPITAL	033	PFE	S	5,000	29.45	n/a	n/a	250.00	0.0
Õ Nilsa Vazquez		QCOM	S	200	62.00	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	QUAD	S	1	21.01	n/a	n/a	0.03	0.0
B BUCK CAPITAL MGMT		RDN	S	42,000	11.86	n/a	n/a	non-brg	1.0
NOMURA CAPITAL	029	RFP	S	1,362	14.07	n/a	n/a	40.86	0.0
COLUMBUS CIRCLE	036	RLGY	S	1,545	48.20	n/a	n/a	61.80	0.0
PRIMECAP MGMT	084	SCHW	B	10,000	16.89	n/a	n/a	400.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	SEE	S	20,000	22.02	n/a	2-Jun	600.00	0.0
NOMURA CAPITAL	029	SIX	S	6,778	73.02	n/a	n/a	203.34	0.0
HOLLIS CAPITAL	033	SSI	B	2,000	27.21	n/a	11-Apr	100.00	0.0
LISTED ERR	099	SSI	B	200	27.21	n/a	11-Apr	10.00	0.0
LISTED ERR	099	SSI	S	200	27.24	n/a	11-Apr	0.00	0.0
B BUCK CAPITAL MGMT		SWY	C	20,000	22.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TPX	SS	25,000	48.55	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		TPX	SS	35,000	48.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TPX	SS	50,000	48.46	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	TWI	S	5000	22.40	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	VC	S	9,887	57.49	n/a	n/a	0.00	0.0
FRONTIER	029	WBMD	B	30,000	24.02	n/a	n/a	1,200.00	0.0
f EDWARD W WHEELER	FID	XRX	B	10000	8.43	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								44,345.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/29	FORTRESS INVESTMENT (US)	036	EBAY	SS	33,000	52.72	n/a	n/a	1320.00 0.0
AO,	04/29	CLEARLINE CAPITAL LLC	040	FIRE	SS	200	51.13	n/a	n/a	6.00 0.0
AO,CXL	04/29	CLEARLINE CAPITAL LLC	040	FIRE	SS	200	51.13	n/a	n/a	6.00 0.0
AO,CXL	04/25	PIMCO	084	SPR	B	100,000	20.17	n/a	19-Mar	2000.00 0.0
AO,CRT	04/25	PIMCO	084	SPR	B	100,000	20.17	n/a	19-Mar	2000.00 0.0

TOTAL (AO, CXL, CRT) :	1,320.00
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TOTAL (Trade Date) :	44,345.96
TOTAL (AO, CXL, CRT) :	1,320.00

TOTAL (RUN DATE) / NFS :	45,665.96
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 30-Apr.
NONE

MRI Securities without Trade Activity on 30-Apr.
CRR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

Blue: Employee, Affiliate(BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION

Watch List Trades

f: Employee Trades (Fidelity)