



Daily Compliance Activity Report

Trade Date: 04/26/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL7	B	10	29.35	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL7	B	40	29.35	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL7	B	5	29.35	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AAPL	S	5	1.12	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	APA	B	250	71.82	n/a	18-Apr	8.75	0.0
f EDWARD W WHEELER	FID	ATI	B	5000	26.48	n/a	24-Apr	0.00	0.0
SYMPHONY ASSET	033	AVGO	S	9,797	32.10	n/a	n/a	293.91	0.0
ROSEDALE CAPITAL	046	AXL	S	15,000	13.51	n/a	25-Apr	600.00	0.0
GABELLI FUNDS	025	BAC	S	15,000	12.36	n/a	18-Apr	750.00	0.0
B BUCK CAPITAL MGMT		BBY	B	100,000	23.62	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	50,000	18.21	n/a	26-Apr	1,500.00	0.0
B BUCK CAPITAL MGMT		CERN	SS	5,500	96.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COLM	SS	1,700	59.13	n/a	n/a	non-brg	1.0
NWQ INVESTMENT MGMT CO	084	CSCO	B	50,550	20.63	n/a	26-Feb	1,769.25	0.0
NWQ INVESTMENT MGMT CO	084	CSX	B	6,550	24.30	n/a	n/a	229.25	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	CSX	B	14,672	24.31	n/a	n/a	440.16	0.0
LATEEF MGMT	033	DD	S	400	52.73	n/a	n/a	60.00	0.0
⚡ BUCK CAPITAL MGMT		DHI 8 C27	SS	750	1.49	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		DHI	S	40,000	26.19	n/a	n/a	non-brg	1.0
NWQ INVESTMENT MGMT CO	084	EMC	B	18,180	22.38	n/a	26-Feb	636.30	0.0
SYMPHONY ASSET	033	EMN	S	4,689	69.05	n/a	n/a	140.67	0.0
NWQ INVESTMENT MGMT CO	084	ETN	B	2,700	58.19	n/a	3-Apr	94.50	0.0
KAYNE ANDERSON ADV	084	FB	B	330,200	27.00	n/a	n/a	13,208.00	0.0
OZ MGMT	040	F	SS	150,000	13.68	n/a	25-Apr	4,500.00	0.0
TRELLUS PARTNERS LP	028	F	SS	30,000	13.60	n/a	25-Apr	1,500.00	0.0
WOOSTER CAPITAL	044	F	SS	50,000	13.59	n/a	25-Apr	2,000.00	0.0
NWQ INVESTMENT MGMT CO	084	GE	S	10,900	22.15	n/a	n/a	381.50	0.0
⚡ BUCK CAPITAL MGMT		GIII	S	2,300	40.72	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GNC	S	20,000	44.65	n/a	n/a	non-brg	4.0
JET CAPITAL/CHRIS	041	HES	S	43,200	71.00	n/a	n/a	1,296.00	0.0
PORTER-ORLIN	044	ITUB	B	100,000	16.39	n/a	n/a	4,000.00	0.0
PORTER-ORLIN	044	IWM	B	100,000	92.89	n/a	n/a	4,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALEXANDRA ELISE ZOLI	FID	JCP	B	200	16.54	n/a	22-Apr	0.00	0.0
J. GOLDMAN	028	JCP	SS	250,743	17.08	n/a	22-Apr	10,029.72	0.0
J. GOLDMAN	028	JCP	S	15,000	16.36	n/a	22-Apr	600.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	JCP	B	300	16.54	n/a	22-Apr	0.00	0.0
MFP INVESTORS	085	JCP	S	45,000	17.25	n/a	22-Apr	1,800.00	0.0
f RAVI SADARANGANI	FID	LCC	B	500	16.53	n/a	24-Apr	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	10,000	57.20	26-Apr	26-Apr	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	18.08	n/a	26-Apr	2,500.00	0.0
B BUCK CAPITAL MGMT		LTD	S	20,000	50.08	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	MLHR	B	18,000	24.95	n/a	n/a	540.00	0.0
B BUCK CAPITAL MGMT		MWV	B	15,000	34.20	n/a	17-Apr	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	34.24	n/a	17-Apr	1,250.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	NBG	S	5000	0.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NCLH	B	10,000	30.11	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		NCLH	B	500	30.37	n/a	n/a	non-brg	1.0
CR INTRINIC INVESTMENT	044	NOC	B	30,000	74.48	n/a	11-Apr	900.00	0.0
f CHRISTOPHER ROBERT C	FID	NYCB	B	600	13.41	n/a	24-Apr	0.00	0.0
B BUCK CAPITAL MGMT		PFE	B	17,000	29.09	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	PPG	B	2,425	145.17	n/a	n/a	72.75	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	10	0.33	n/a	26-Apr	0.00	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.14	n/a	n/a	250.00	0.0
f MANNY I KORMAN	FID	TRW	B	4000	58.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VMC	B	11,000	46.56	n/a	n/a	non-brg	0.8
CSFB GLOBAL PROPRIETARY	041	WY	B	55,000	30.94	n/a	26-Apr	2,750.00	0.0
f EDWARD W WHEELER	FID	XRX	B	20000	8.44	n/a	n/a	0.00	0.0
YORK CAPITAL	036	YHOO	B	250,000	25.04	n/a	n/a	7,500.00	0.0
TOTAL (Trade Date) :								66,000.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/22	PORTER-ORLIN	044	CAT	B	50,000	81.84	n/a	11-Jul	2000.00 0.0
AO,CRT	04/22	PORTER-ORLIN	044	CAT	B	50,000	81.84	n/a	11-Jul	2000.00 4.0
AO,CXL	04/25	KEY ASSET MGMT/VICTORY	220	ESRX	S	80	57.08	n/a	n/a	3.20 0.0
AO,CRT	04/25	KEY ASSET MGMT/VICTORY	220	ESRX	S	80	57.08	n/a	n/a	3.20 0.0
AO,CRT	04/24	COUGAR TRADING	044	JNY	B	10,000	13.72	n/a	25-Apr	500.00 5.0
AO,CXL	04/24	COUGAR TRADING	044	JNY	B	10,000	13.72	n/a	25-Apr	300.00 3.0
AO,CRT	04/24	FIRST NEW YORK	086	JNY	SS	10,000	13.31	n/a	25-Apr	300.00 3.0
AO,CXL	04/24	FIRST NEW YORK	086	JNY	SS	10,000	13.31	n/a	25-Apr	400.00 0.0
AO,CRT	04/25	GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	20,000	56.83	26-Apr	26-Apr	400.00 2.0
AO,CXL	04/25	GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	20,000	56.83	26-Apr	26-Apr	800.00 0.0
AO,CRT	04/25	FIRST NEW YORK	086	SSI	S	5,000	29.52	n/a	11-Apr	150.00 3.0
AO,CXL	04/25	FIRST NEW YORK	086	SSI	S	5,000	29.52	n/a	11-Apr	200.00 0.0
TOTAL (AO, CXL, CRT) :										-350.00
TOTAL (Trade Date):										66,000.76
TOTAL (AO, CXL, CRT):										-350.00
TOTAL (RUN DATE) / NFS:										65,650.76

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 26-Apr.

LEA

MRI Securities without Trade Activity on 26-Apr.

DAN, LAZ, TYC

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)