



Daily Compliance Activity Report

Trade Date: 09/13/2012

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	AAPL	S	10	1.97	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	4	1.97	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	AGN	S	4,550	89.24	n/a	12-Sep	227.50	0.0
ELM RIDGE ADVISORS	044	AMAT	B	87,100	11.83	n/a	n/a	3,484.00	0.0
KAM ADVISORS LLC	041	BEAV	B	53,200	41.08	n/a	12-Sep	1,596.00	0.0
DC CAPITAL	044	BTU	S	25,000	23.72	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		BYI	C	39,000	46.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BYI	C	39,000	46.43	n/a	n/a	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.25		n/a	n/a	7,500.00 3.0
B BUCK CAPITAL MGMT		CROX	B	10,000	16.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	16.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	30,000	17.08	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	CROX	B	10000	16.96	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	250	8.88	n/a	n/a	0.00	0.0
TROUBH PART	070	C	B	5,000	34.32	n/a	11-Sep	250.00	5.0
CENTURION PARTNERS	041	DD	B	20,000	50.77	n/a	7-Sep	800.00	4.0
PZENA INV ADV	044	DELL	S	3,650	10.62	n/a	n/a	127.75	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	EXPE	B	50,000	55.65	n/a	n/a	1,500.00	0.0
SUN AMERICA ASSET MGMT	030	EXPR	B	14,000	15.98	n/a	n/a	560.00	0.0
CYRUS CAPITAL	025	FBP	S	50,000	4.28	n/a	n/a	1,500.00	3.0
BTG PACTUAL	040	FINL	B	10,000	23.70	n/a	22-Aug	300.00	0.0
JET CAPITAL/CHRIS	041	GEO	B	466	27.74	n/a	n/a	13.98	0.0
Õ Michael Ehrlich		GFIG	S	1000	3.13	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	GLD	S	150	171.00	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GM	B	25,000	23.66		n/a 7-Sep	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	GPC	SS	6,500	62.23	n/a	n/a	195.00	0.0
CAPITAL RESEARCH GROUP		296 HD		S 177,000	57.09		n/a 14-Aug	6,195.00	0.0
CENTURION PARTNERS	041	HES	S	15,000	55.76	n/a	n/a	600.00	4.0
LATEEF MGMT	035	HON	S	1,500	59.78	n/a	12-Sep	150.00	10.0
CYRUS CAPITAL	025	IWM	B	33,250	85.82	n/a	n/a	997.50	3.0
SCOUT/UMB	047	JCP	B	56,181	28.77	n/a	13-Aug	1,685.43	0.0
CAISSE DEPOT PLACEMENT Q	295	JIVE	B	20,200	14.50	n/a	n/a	606.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035	JLL		B	10,331	79.35		n/a	n/a	309.93 0.0
f CHRISTOPHER ARTHUR K	FID	JPM	B	200	40.38	n/a	6-Sep	0.00	0.0
TROUBH PART	070	JPM	B	10,000	41.09	n/a	6-Sep	500.00	5.0
SUFFOLK CAPITAL MGMT	040	LCC	B	67,600	11.48	n/a	n/a	2,028.00	0.0
B BUCK CAPITAL MGMT		LLY	S	119,142	47.10	n/a	n/a	non-brg	4.0
CENTURION PARTNERS	041	LNC	B	10,000	25.15	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)251	MRGE		S	7,768	3.73		n/a	n/a	155.36 2.0
BAIRD INVESTMENT	047	MSFT	B	9,650	31.07	n/a	n/a	482.50	0.0
Õ Nilsa Vazquez		NLY	S	1000	17.60	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	NVDA	S	10,000	13.72	n/a	n/a	400.00	4.0
CAPITAL RESEARCH GROUP		296 PCP	B	10,000	157.94		n/a	1-Aug	350.00 0.0
ASCEND PARTNERS	033	PVH	B	11,200	92.36	n/a	29-Aug	336.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040	PVH		B	15,000	92.46	n/a	29-Aug	450.00	3.0
CYRUS CAPITAL	025	RLD	S	25,000	10.00	n/a	n/a	750.00	3.0
f CHRISTOPHER ARTHUR K	FID	SBUX	B	200	51.37	n/a	27-Jul	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	20,000	32.03	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKX	B	20,000	21.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	B	20,000	21.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPLS	C	50,000	12.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPLS	C	50,000	12.00	n/a	n/a	non-brg	4.0
FINDLAY PARK PART	085	STT	B	304,000	43.77	n/a	11-Sep	19,961.27	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.15	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	TDC	B	8,500	75.06	n/a	n/a	255.00	3.0
B BUCK CAPITAL MGMT		TDG	SS	20,000	143.03	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	TYC	B	16,420	55.24	n/a	3-Aug	821.00	0.0
STANDARD PACIFIC CAPITAL	084	VALE	SS	130,000	18.94	n/a	n/a	6,500.00	5.0
JET CAPITAL/CHRIS	041	WCRX	S	29,341	12.86	n/a	12-Sep	880.23	0.0
ASCEND PARTNERS	033	WRC	B	19,827	53.21	n/a	7-Aug	991.35	0.0
BALYASNY ASSET MGMT	044	WRC	B	20,000	53.51	n/a	7-Aug	1,000.00	0.0
f IAN L MILLER	FID	XLF	S	80	16.15	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	XPO	S	1425	15.48	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	Z	B		38,022	43.20	n/a	n/a	1,140.66 0.0
f ANTHONY SUTERA	FID		B	25000	57.60	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

68,549.46

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	09/12	IRIDIAN ASSET MGMT.	036	GLW	S	12,340	12.80	n/a 13-Sep	617.00 0.0
AO,CRT	09/12	IRIDIAN ASSET MGMT.	036	GLW	S	12,340	12.80	n/a 13-Sep	617.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	68,549.46
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	68,549.46
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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 13-Sep.
NONE

MRI Securities without Trade Activity on 13-Sep.
NONE

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)