



# Daily Compliance Activity Report

Trade Date: 04/24/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JOHN FRANCIS MCERLEA</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>5</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	AA	B	600	8.41	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	AIG	B	725,000	41.43	n/a	n/a	29,000.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ALV</b>	<b>B</b>	<b>5000</b>	<b>69.01</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
MACELLUM CAPITAL	086	ANN	B	38,000	28.43	n/a	n/a	1,140.00	0.0
ESSENCIAL CAPITAL	031	AXL	B	6,825	13.10	n/a	18-Apr	204.75	0.0
GEORGE WEISS	278	AXL	S	5,000	13.00	n/a	18-Apr	200.00	0.0
VERITION	028	AXL	S	10,000	13.24	n/a	18-Apr	300.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>25000</b>	<b>12.31</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BA</b>	<b>S</b>	<b>11,000</b>	<b>91.00</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>1.0</b>
PRIMECAP MGMT	084	CHRW	S	2,500	57.70	n/a	n/a	100.00	0.0
T. ROWE PRICE	243	CMG	B	7,200	362.92	n/a	19-Apr	288.00	0.0
GABELLI FUNDS	025	COG	B	27,000	66.58	n/a	24-Apr	1,350.00	0.0
LATEEF MGMT	033	CSCO	B	275	20.37	n/a	26-Feb	33.00	0.0
KAM ADVISORS LLC	041	DIS	S	73,900	61.68	n/a	n/a	2,217.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DVN	B	200	53.43	n/a	18-Apr	34.00	0.0
VERITION	028	EMN	S	2,500	71.73	n/a	n/a	75.00	0.0
COLUMBUS CIRCLE	036	ETH	B	15,243	30.30	n/a	n/a	609.72	0.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>2000</b>	<b>13.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	54,700	18.18	n/a	24-Apr	1,641.00	0.0
NEUBERGER BERMAN	036	FITB	B	97,600	16.66	n/a	n/a	3,904.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>15,000</b>	<b>93.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FWM</b>	<b>B</b>	<b>15,000</b>	<b>17.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	13.23	n/a	24-Apr	3,000.00	0.0
OZ MGMT	040	F	SS	250,000	13.17	n/a	24-Apr	7,500.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	30.04	n/a	22-Apr	1,000.00	0.0
ESSENCIAL CAPITAL	031	GM	B	10,000	30.55	n/a	22-Apr	300.00	0.0
SPARTAN	093	GM	B	20,000	30.45	n/a	22-Apr	600.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	30.07	n/a	22-Apr	3.00	0.0
CR INTRINSIC/CHRIS C	041	GTI	SS	25,000	7.36	n/a	n/a	750.00	0.0
PERRY PARTNERS	085	HES	B	200,000	70.26	n/a	n/a	10,000.00	0.0
ZWEIG FUNDS	006	HOG	B	15,000	52.52	n/a	n/a	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	HSH	B	20,000	35.34	n/a	n/a	800.00	0.0
CAISSE DEPOT PLACEMENT Q	257	INFY	SS	25,000	40.99	n/a	n/a	750.00	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>INTC</b>	<b>S</b>	<b>63</b>	<b>0.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	IP	B	5,000	48.40	n/a	23-Apr	1.50	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JBLU</b>	<b>B</b>	<b>10000</b>	<b>7.16</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	JCI	S	10,000	33.94	n/a	23-Apr	3.00	0.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>JCP</b>	<b>B</b>	<b>4000</b>	<b>15.27</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>C</b>	<b>20,000</b>	<b>13.72</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>SS</b>	<b>20,000</b>	<b>13.99</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	JNY	B	10,000	13.72	n/a	24-Apr	500.00	0.0
FIRST NEW YORK	086	JNY	SS	10,000	13.31	n/a	24-Apr	400.00	0.0
EPOCH INV MGMT	030	KS	B	22,800	28.85	n/a	n/a	684.00	0.0
LATEEF MGMT	033	K	S	150	65.42	n/a	n/a	30.00	0.0
SCOPUS FUND	041	LAD	S	20,000	47.27	n/a	n/a	800.00	0.0
TUDOR INVESTORS	028	LEN	S	5,000	41.82	n/a	n/a	1.50	0.0
BALYASNY ASSET MGMT	044	LOW	C	46,843	38.02	n/a	n/a	2,342.15	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>S</b>	<b>25,000</b>	<b>75.44</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NUVEEN - US BANCORP		030 LZB	B	23,056	17.85		n/a	n/a	1,037.53 0.0
ALLIANZ/NICOLAS APPLGATE		084 MSFT	B	49,900	31.73		n/a	n/a	998.00 0.0
TUDOR INVESTORS	028	MWV	S	4,700	35.02	n/a	17-Apr	1.41	0.0
BALYASNY ASSET MGMT	044	M	B	30,000	43.89	n/a	8-Apr	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	M	B	26,200	43.95	n/a	8-Apr	1,048.00	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>NFLX</b>	<b>S</b>	<b>40</b>	<b>214.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	NKE	B	125,000	61.52	n/a	24-Apr	4,375.00	0.0
BRANDWINE	028	OXY	B	250,000	83.19	n/a	n/a	10,000.00	0.0
BRONSON POINT	036	OXY	S	12,500	82.95	n/a	n/a	375.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>C</b>	<b>30,000</b>	<b>67.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIGMA CAP BOBBY	044	PETM	B	25,000	67.28	n/a	n/a	750.00	0.0
LATEEF MGMT	033	PFE	S	250	30.57	n/a	n/a	37.50	0.0
P.SCHOENFELD ASSET MGMT LLC	041	PHM	C	89,000	19.24	n/a	n/a	3,560.00	0.0
STANDARD PACIFIC CAPITAL	084	PHM	S	294,000	19.32	n/a	n/a	14,700.00	0.0
NEUBERGER BERMAN	036	POOL	B	10,800	48.77	n/a	n/a	432.00	0.0
TUDOR INVESTORS	028	RFP	B	5,000	14.24	n/a	n/a	1.50	0.0
<b>Õ Jack Chernus</b>		<b>SBUX</b>	<b>B</b>	<b>400</b>	<b>59.80</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	STKL	S	1,500	7.72		n/a	n/a	45.00	0.0
Ö Jack Chernus		STT	S	10	1.60	n/a	19-Apr		0.00	0.0
ß BUCK CAPITAL MGMT		SWFT	S	100,000	13.96	n/a	n/a		non-brg	4.0
ß BUCK CAPITAL MGMT		SWFT	S	95,016	13.88	n/a	n/a		non-brg	4.0
f MANNY I KORMAN	FID	TEN	B	5000	36.28	n/a	n/a		0.00	0.0
VERITION	028	TOL	B	5,000	33.70	n/a	n/a		150.00	0.0
ß BUCK CAPITAL MGMT		ULTA	S	20,000	85.20	n/a	n/a		non-brg	4.0
TUDOR INVESTORS	028	UTX	B	5,000	92.06	n/a	n/a		1.50	0.0
MERRILL ASSET/BLACKROCK	297	WAFD	S	6,430	16.89	n/a	n/a		257.20	0.0
CR INTRINIC INVESTMENT	044	WFT	SS	5,000	12.82	n/a	n/a		150.00	0.0
ß BUCK CAPITAL MGMT		WMT	C	40,000	78.27	n/a	22-Feb		non-brg	4.0
JET CAPITAL/CHRIS	041	XLE	C	40,000	77.36	n/a	n/a		1,200.00	0.0
PERRY PARTNERS	085	XLE	SS	72,800	77.41	n/a	n/a		3,640.00	0.0
SANDLER CAPITAL	028	XL	B	175,000	31.37	n/a	n/a		8,750.00	0.0
PERRY PARTNERS	085	XOP	SS	98,000	57.09	n/a	n/a		4,900.00	0.0
f DAVID GEORGE BUCK	FID	YUM	S	15	1.02	n/a	23-Apr		0.00	0.0

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**TOTAL (Trade Date):**

**129,281.26**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/23	BESSEMER INVESTMENT	097	CEF	B	6,030	16.51	n/a	n/a	241.20 0.0
AO,CRT	04/23	LATEEF MGMT	033	CTB	B	300	23.61	n/a	n/a	36.00 0.0
AO,CXL	04/23	LATEEF MGMT	033	CTB	B	300	23.61	n/a	n/a	36.00 0.0
AO,CRT	04/22	PROSPECTOR PARTNERS LLC	036	CVC	B	700	14.33	n/a	n/a	28.00 4.0
AO,CXL	04/22	PROSPECTOR PARTNERS LLC	036	CVC	B	700	14.33	n/a	n/a	28.00 0.0
AO,CRT	04/23	CHARTER OAK	033	IWM	B	33,000	92.05	n/a	n/a	660.00 0.0
AO,CXL	04/23	CHARTER OAK	033	IWM	B	33,000	92.05	n/a	n/a	1650.00 0.0
AO,CRT	04/23	MFP INVESTORS	085	JCP	S	45,000	15.58	n/a	22-Apr	2250.00 0.0
AO,CXL	04/23	MFP INVESTORS	085	JCP	S	45,000	15.58	n/a	22-Apr	1800.00 0.0
AO,CRT	04/23	BESSEMER INVESTMENT	097	UBS	S	2,100	16.21	n/a	n/a	84.00 0.0
AO,CXL	04/23	CHARTER OAK	033	VTI	B	38,000	81.15	n/a	n/a	1900.00 0.0
AO,CRT	04/23	CHARTER OAK	033	VTI	B	38,000	81.15	n/a	n/a	760.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,354.80</b>

TOTAL (Trade Date):	129,281.26
TOTAL (AO, CXL, CRT):	-1,354.80

**TOTAL (RUN DATE) / NFS:**

**127,926.46**

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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	04/23	BUCK CAPITAL MGMT.	SWFT	S	30,000	14.28	n/a	n/a	1200.00
CRT	04/23	BUCK CAPITAL MGMT	SWFT	S	30,000	14.33	n/a	n/a	1200.00 4.0
CXL	04/23	BUCK CAPITAL MGMT.	SWFT	S	30,000	14.28	n/a	n/a	1200.00
CRT	04/23	BUCK CAPITAL MGMT	SWFT	S	75,000	14.51	n/a	n/a	3000.00 4.0

MRI Securities with Trade Activity on 24-Apr.  
NONE

MRI Securities without Trade Activity on 24-Apr.  
RKT, COH

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)**