



Daily Compliance Activity Report

Trade Date: 03/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ADBE	S	1,300	42.65	n/a	n/a	52.00	0.0
⚡ BUCK CAPITAL MGMT		AEO	B	27,500	18.71	n/a	2-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AEO	S	100,000	18.88	n/a	2-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AEO	S	50,000	18.74	n/a	2-Dec	non-brg	4.0
WILLIAMS TRADING/BLUE MTN	087	AIG	B	191,697	37.97	n/a	n/a	5,750.91	0.0
⚡ BUCK CAPITAL MGMT		ANF	S	20,000	45.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	20,000	45.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	30,000	45.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	30,000	45.46	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	033	ANGI	B	42,040	18.87	n/a	n/a	1,681.60	0.0
NEW JERSEY DIV OF INV.	030	APC	S	20,000	86.92	n/a	21-Mar	800.00	4.0
⚡ BUCK CAPITAL MGMT		ARO	SS	50,000	13.54	n/a	n/a	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	AXL	B	1000	12.89	n/a	22-Mar	0.00	0.0
⚡ BUCK CAPITAL MGMT		BBY	S	170,000	22.03	n/a	n/a	non-brg	4.0
VISIUM/BALY BOBBY	044	BHI	S	15,000	45.14	n/a	n/a	750.00	0.0
f MANNY I KORMAN	FID	CMI	B	2000	113.95	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CROX	S	100,000	15.36	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	CROX	B	52,663	15.42	n/a	n/a	2,633.15	0.0
SANDLER O'NEILL ASSET	031	DFS	S	15,400	44.63	n/a	21-Mar	770.00	5.0
HIGHBRIDGE CAP	041	DK	B	19,000	39.82	n/a	n/a	570.00	3.0
NEW JERSEY DIV OF INV.	030	DLTR	S	20,000	46.56	n/a	1-Mar	600.00	3.0
BTG PACTUAL	040	DRI	SS	10,000	49.51	n/a	22-Mar	300.00	3.0
J. GOLDMAN	028	EMN	B	7,000	70.65	n/a	n/a	280.00	4.0
HIGHBRIDGE CAP	041	FCX	B	8,000	33.27	n/a	n/a	240.00	3.0
B BUCK CAPITAL MGMT		FDO	S	16,300	61.30	n/a	4-Jan	non-brg	4.0
f GAVIN N CADWALLADER	FID	FIGFX	B	256	9.76	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FLR	B	3000	64.47	n/a	n/a	0.00	0.0
f GAVIN N CADWALLADER	FID	FMILX	B	75	33.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	10,000	96.68	n/a	n/a	non-brg	2.5
HIGHBRIDGE CAP	041	FTI	B	5,141	52.11	n/a	n/a	154.23	3.0
CASTLEROCK	040	F	SS	54,180	13.22	n/a	22-Mar	2,167.20	4.0
B BUCK CAPITAL MGMT		GES	C	50,000	25.15	n/a	21-Mar	non-brg	4.0
SCOPUS FUND	041	GIL	S	50,000	38.92	n/a	14-Mar	2,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	GM	S	7,500	28.33	n/a	22-Mar	300.00	4.0
ROSEDALE CAPITAL	046	GM	B	10,000	28.27	n/a	22-Mar	500.00	5.0
B BUCK CAPITAL MGMT		GNC	B	30,000	38.35	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	GPS	B	30,000	35.73	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		HBI	S	20,000	43.48	n/a	1-Mar	non-brg	4.0
YORK CAPITAL	036	HIG	B	250,000	26.28	n/a	n/a	7,500.00	3.0
B BUCK CAPITAL MGMT		HTZ	B	20,000	21.00	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	INTC	B	100	0.05	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	65,000	45.18	n/a	18-Mar	3,250.00	5.0
SCOPUS FUND	041	IP	S	80,000	45.15	n/a	18-Mar	3,200.00	0.0
f MICHAEL ALEXANDER SM	FID	ISRG	B	1	40.98	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	ISRG	B	5	41.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KSS	SS	50,000	46.15	n/a	6-Mar	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	46.25	n/a	6-Mar	1,500.00	3.0
B BUCK CAPITAL MGMT		LEN 5 C43	SS	500	1.46	n/a	n/a	non-brg	300.0
f AMY O ROGERS	FID	LGND	B	38	25.28	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	MAN	B	15,000	55.37	n/a	n/a	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLIAMS TRADING/BBLUE MTN	087	MCP	SS	163,954	5.75	n/a	n/a	4,918.62	0.0
PRIMECAP MGMT	084	MDT	S	5,200	45.90	n/a	n/a	208.00	0.0
EPOCH INV MGMT	030	MGAM	S	25,200	19.95	n/a	n/a	756.00	0.0
RIVERLOFT CAPITAL	044	MGM	B	50,000	13.11	n/a	13-Jun	1,500.00	3.0
B BUCK CAPITAL MGMT		MRIN	B	500	14.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MRIN	S	500	16.94	n/a	n/a	non-brg	2.5
f YANAI A FRANK	FID	MTG	B	2225	4.49	n/a	n/a	0.00	0.0
J. GOLDMAN	028	M	SS	10,000	42.60	n/a	7-Mar	400.00	4.0
B BUCK CAPITAL MGMT		NKE	C	40,000	59.00	22-Mar	22-Mar	non-brg	4.0
PRIMECAP MGMT	084	NKTR	B	1,800	10.86	n/a	n/a	72.00	0.0
f GAVIN N CADWALLADER	FID	OAKMX	B	47	52.87	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	PCYO	B	250	4.90	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	PFG	B	50,000	33.55	n/a	n/a	2,500.00	5.0
KAM ADVISORS LLC	041	PH	C	47,300	92.04	n/a	n/a	1,419.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	PIR	B		88,510	22.92	n/a	n/a	2,655.30
B BUCK CAPITAL MGMT		PLCE	SS	20,000	45.57	n/a	10-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PVH	B	20,000	113.14	n/a	1-Mar	non-brg	4.0
BUCK CAPITAL MGMT		RL	B	10,000	170.17	n/a	21-Feb	non-brg	4.0
SAFRA ASSET MGMT.	040	ROK	B	5,000	85.85	n/a	n/a	150.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040 ROST	C	2,600	58.08		n/a	22-Mar	130.00 0.0
BUCK CAPITAL MGMT		SCSS	S	12,000	18.82	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		SCSS	S	88,000	18.85	n/a	n/a	non-brg	4.0
MAIRS AND POWER INV	030	SLB	B	20,000	74.23	n/a	n/a	1,000.00	5.0
CASTLE ARK	031	TDC	S	208,250	57.02	n/a	n/a	10,412.50	0.0
COHE & STEERS	041	TOL	S	6,800	35.97	n/a	n/a	272.00	0.0
BUCK CAPITAL MGMT		UA	S	159,750	50.18	n/a	20-Mar	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	10,000	38.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	10,000	38.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	12,500	38.77	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	20,000	39.64	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	20,000	39.64	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VMC	B	10,000	51.86	n/a	n/a	non-brg	4.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VZ	S	166,646	49.05	n/a	n/a	5,332.67	0.0
BUCK CAPITAL MGMT		WERN	S	60,000	24.65	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	B	30,400	30.85	n/a	22-Mar	1,520.00	5.0
TOTAL (Trade Date):								69,595.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	10,000	14.66	n/a	n/a	200.00 2.0
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	10,000	14.66	n/a	n/a	300.00 3.0
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	15,000	6.64	n/a	n/a	300.00 2.0
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	15,000	6.64	n/a	n/a	450.00 3.0
AO,CRT	03/21	MATRIX ASSET ADV.	091	OXY	B	1,000	78.64	n/a	n/a	40.00 4.0
AO,CXL	03/21	MATRIX ASSET ADV.	091	OXY	B	1,000	78.64	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										-210.00
TOTAL (Trade Date) :										69,595.18
TOTAL (AO, CXL, CRT) :										-210.00
TOTAL (RUN DATE) / NFS :										69,385.18

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 22-Mar.

NKE

MRI Securities without Trade Activity on 22-Mar.

LMT

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)