



Daily Compliance Activity Report

Trade Date: 04/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		\$\$EURUSD	B	71	1.30	n/a	n/a	non-brg	0.0
BRONSON POINT	036	ALV	SS	50,000	67.03	n/a	19-Mar	1,500.00	0.0
WOOSTER CAPITAL	044	ALV	B	25,700	66.99	n/a	19-Mar	1,028.00	0.0
B BUCK CAPITAL MGMT		ANN	SS	35,000	28.89	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	APA	B	15,000	74.02	n/a	5-Apr	750.00	5.0
CASTLE ARK	031	APC	B	90,890	84.66	n/a	5-Apr	3,635.60	0.0
NEWLAND CAPITAL MGT	025	ARC	S	22,389	2.86	n/a	n/a	671.67	3.0
f EDWARD W WHEELER	FID	AVY	S	10000	41.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AXL	B	40,000	12.61	n/a	3-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		BAC	B	43,000	11.74	n/a	5-Apr	non-brg	1.0
f JASON ERIC COHEN	FID	BAS	B	600	11.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	17,400	63.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	SS	20,000	35.13	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	BONT	B	100	12.60	n/a	13-Mar	4.00	4.0
B BUCK CAPITAL MGMT		CAR	B	10,000	26.22	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTIER	029	CME	B	44,780	59.52	n/a	28-Apr	1,791.20	0.0
DAVIDSON KEMPNER ADVISOR	040	CPWR	B	25,000	11.57	n/a	n/a	750.00	0.0
⚡ BUCK CAPITAL MGMT		CROX	S	25,000	15.20	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	S	75,000	15.00	n/a	n/a	non-brg	4.0
FRONTIER	029	CXO	S	25,470	88.38	n/a	n/a	1,018.80	0.0
⚡ BUCK CAPITAL MGMT		C	B	12,000	41.85	n/a	5-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DAL	B	40,000	14.10	n/a	3-Apr	non-brg	4.0
SAGE ASSET MGMT	025	DAL	B	18,400	14.35	n/a	3-Apr	920.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DELL	B	55,539	14.21	n/a	n/a	1,666.17	0.0
f BRIAN P CLIFFORD	FID	DLBS	S	300	26.76	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL	070	DOV	B	85,757	71.76	n/a	n/a	3,430.28	0.0
MERRILL ASSET/BLACKROCK	297	EDD	B	12,077	16.62	n/a	n/a	483.08	0.0
FARALLON CAP MGMT	040	EMC	S	50,000	23.03	n/a	26-Feb	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		ENR	SS	26,500	95.86	n/a	28-Mar	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	ESS	S	8,000	156.53	n/a	n/a	320.00	0.0
⚡ BUCK CAPITAL MGMT		EXPR	S	20,000	18.31	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f PETER D GOLDSTEIN	FID	FBIOX	B	114	131.33	n/a	n/a	0.00	0.0
f PETER D GOLDSTEIN	FID	FDCAx	B	469	31.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FNP	S	100,000	20.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	S	100,000	20.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	B	10,000	90.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	B	5,000	90.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	20,000	28.24	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	FRT	S	8,000	109.81	n/a	n/a	320.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	233,205	12.36	n/a	5-Apr	9,328.20	0.0
ß BUCK CAPITAL MGMT		GI11	S	25,850	38.27	n/a	n/a	non-brg	1.0
OZ MGMT	040	GM	SS	41,778	27.19	n/a	5-Apr	1,253.34	0.0
ß BUCK CAPITAL MGMT		GNC	B	20,000	39.46	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	INXN	S	7,700	22.80	n/a	n/a	308.00	0.0
NEUBERGER BERMAN	036	IPCC	B	1,200	57.81	n/a	n/a	48.00	0.0
ß BUCK CAPITAL MGMT		JWN	C	20,000	55.02	n/a	6-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	53.27	n/a	12-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		KORS	B	10,000	53.36	n/a	12-Mar	non-brg	4.0
BUCK CAPITAL MGMT		KSS	SS	20,000	47.63	n/a	6-Mar	non-brg	4.0
BUCK CAPITAL MGMT		LEG	SS	30,000	32.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LPNT	S	10,644	46.01	n/a	n/a	non-brg	4.0
DC CAPITAL	044	LPX	B	10,000	19.82	n/a	5-Apr	300.00	3.0
MERRILL ASSET/BLACKROCK	297	MA	S	4,500	528.20	n/a	5-Apr	180.00	0.0
BUCK CAPITAL MGMT		MDC	C	41,376	33.98	n/a	n/a	non-brg	1.0
CR INTRINSIC/CHRIS C	041	MEOH	B	10,000	39.24	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT		MS	B	24,000	20.98	n/a	5-Apr	non-brg	1.0
TIEDEMANN/TIG ADVISORS LLC006		MTZ	B	11,070	27.77	n/a	n/a	332.10	3.0
BUCK CAPITAL MGMT		NCLH	B	55,000	28.99	n/a	n/a	non-brg	2.5
FRONTIER	029	NIHD	B	34,980	5.57	n/a	n/a	1,049.40	0.0
BUCK CAPITAL MGMT		NTRS	SS	14,100	53.26	n/a	5-Apr	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	PCS	S	50,000	11.29	n/a	n/a	1,500.00	0.0
BUCK CAPITAL MGMT		PLCE	SS	20,000	47.46	n/a	26-Mar	non-brg	4.0
BUCK CAPITAL MGMT		PVH	B	5,000	103.84	n/a	1-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	12,500	103.78	n/a	1-Apr	375.00	3.0
AELTUS/ING INVESTMENT MGT	215	RDN	B	500,000	10.06	n/a	n/a	15,000.00	0.0
SAGE ASSET MGMT	025	RT	SS	33,200	7.70	n/a	n/a	1,660.00	5.0
f EDWARD W WHEELER	FID	R	B	10	7.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPN	B	19,700	24.40	n/a	n/a	non-brg	4.0
HOLLIS CAPITAL	033	SPN	S	5,000	24.15	n/a	n/a	250.00	5.0
f DAVID GEORGE BUCK	FID	SPY	S	12	0.47	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SPY	S	500	154.60	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	STT	B	13,800	57.17	n/a	5-Apr	690.00	5.0
f JASON ERIC COHEN	FID	TBF	B	130	28.57	n/a	n/a	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	TBF	B	150	28.51	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TLT	B	20	0.51	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TLT	S	20	0.44	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	TWTC	S	20,000	25.75	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		URBN	B	12,500	39.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	50,000	39.81	n/a	n/a	non-brg	2.5
MARCATO CAPITAL MGMT.	029	VXX	B	500,000	21.10	n/a	n/a	20,000.00	4.0
MERRILL ASSET/BLACKROCK	297	V	B	14,700	163.90	n/a	20-Mar	588.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WFC	SS	20,400	36.87	n/a	5-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		WMT	C	13,600	75.55	n/a	22-Feb	non-brg	4.0
ROYCE TRADING	031	WOR	S	25,000	29.23	n/a	n/a	1,250.00	0.0
f EDWARD W WHEELER	FID	XIDE	S	39600	1.60	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	XLP	C	32,190	39.63	n/a	n/a	965.70	0.0
AELTUS/ING INVESTMENT MGT	215	XOM	B	150,618	88.78	n/a	n/a	4,518.54	0.0
f ANTHONY SUTERA	FID		B	25000	99.10	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	75000	91.65	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								80,785.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									80,785.08
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									80,785.08

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 5-Apr.
NONE

MRI Securities without Trade Activity on 5-Apr.
HBI

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)