



Daily Compliance Activity Report

Trade Date: 02/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	ANF	S	75,000	48.57	n/a	n/a	3,750.00	0.0
B BUCK CAPITAL MGMT		ANF	B	10,000	48.75	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	ANF	B	20,000	50.18	n/a	n/a	600.00	3.0
DC CAPITAL	044	ATI	B	50,000	30.86	n/a	28-Jan	2,000.00	4.0
f YANAI A FRANK	FID	AVGO	B	300	33.26	n/a	n/a	0.00	0.0
DEVENNY CAP LLC/MILLENIU	044	AXL	SS	7,667	12.10	n/a	21-Feb	230.01	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	12.02	n/a	21-Feb	400.00	4.0
SAGE ASSET MGMT	025	AXL	S	87,800	12.15	n/a	21-Feb	4,390.00	5.0
f MARC PAUL LUCHANSKY	FID	BA	B	100	75.95	n/a	6-Feb	0.00	0.0
B BUCK CAPITAL MGMT		BCC	B	20,000	26.45	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	BKU	B	11,099	27.37	n/a	n/a	443.96	0.0
NEUBERGER BERMAN	036	BOH	B	18,221	48.74	n/a	n/a	728.84	0.0
NEUBERGER BERMAN	036	BOKF	B	7,983	58.73	n/a	n/a	319.32	0.0
NEUBERGER BERMAN	036	BRKL	B	17,400	9.08	n/a	n/a	348.00	0.0
CASTLEROCK	040	CAKE	B	10,800	33.47	n/a	21-Feb	432.00	0.0
NEUBERGER BERMAN	036	CBU	B	14,398	28.80	n/a	n/a	575.92	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CHKP	B	100,000	51.50	n/a	n/a	3,000.00	0.0
B BUCK CAPITAL MGMT		CRMB-P	S	10,000	2.90	n/a	n/a	non-brg	2.0
STATE TEACHERS RET SYS	047	CSCO	B	50,000	20.94	n/a	14-Feb	2,500.00	5.0
KAM ADVISORS LLC	041	DD	C	89,800	46.20	n/a	n/a	2,694.00	0.0
B BUCK CAPITAL MGMT		DECK	B	12,500	40.79	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	103,411	45.42	n/a	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	22,000	45.41	n/a	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	S	24,000	41.16	n/a	12-Feb	non-brg	4.0
MACELLUM CAPITAL	086	DLTR	B	51,000	41.46	n/a	12-Feb	1,530.00	0.0
KAM ADVISORS LLC	041	DOW	C	131,100	30.87	n/a	n/a	3,933.00	0.0
f MARC PAUL LUCHANSKY	FID	FB	S	100	27.67	n/a	n/a	0.00	0.0
CORNERSTONE	030	FCX	B	50,000	32.34	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		FDO	S	18,000	56.50	n/a	4-Jan	non-brg	4.0
REAL ESTATE MGMT SERVICES GROUP	093	FOR	B	25,000	17.15		n/a 15-Feb	1,000.00	4.0
B BUCK CAPITAL MGMT		FRAN	B	20,000	25.13	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	7000	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	50,000	12.37	n/a	21-Feb	1,500.00	3.0
OZ MGMT	040	F	B	287,000	12.41	n/a	21-Feb	8,610.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	48,086	12.43	n/a	21-Feb	1,923.44	0.0
B BUCK CAPITAL MGMT		GM	B	20,000	26.45	n/a	21-Feb	non-brg	4.0
TRELLUS PARTNERS LP	028	GM	B	5,000	26.34	n/a	21-Feb	150.00	0.0
J. GOLDMAN	028	HBI	B	22,500	38.90	n/a	6-Feb	900.00	4.0
B BUCK CAPITAL MGMT		IBM	SS	1,000	20.29	n/a	n/a	non-brg	4.0
f CHRISTY FRANK	FID	INTC	B	495	20.29	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	10,000	41.19	n/a	21-Feb	300.00	3.0
OZ MGMT	040	IP	B	49,623	41.03	n/a	21-Feb	1,488.69	0.0
B BUCK CAPITAL MGMT		JOY	B	8,000	62.95	n/a	11-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		KMT	B	12,500	40.44	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	LDR	S	2,300	58.34	n/a	n/a	92.00	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	3,000	54.02	n/a	12-Feb	90.00	3.0
WOOSTER CAPITAL	044	LEA	B	15,000	53.84	n/a	12-Feb	600.00	4.0
B BUCK CAPITAL MGMT		MOH	B	20,000	32.95	n/a	n/a	non-brg	4.0
LOMAS CAPITAL	040	MWV	B	28,000	34.38	n/a	19-Feb	840.00	3.0
OSKIE CAPITAL MGMT	224	MWV	B	15,000	34.46	n/a	19-Feb	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	OZRK	B	9,900	38.25	n/a	n/a	396.00	0.0
CR INTRINSIC/CHRIS C	041	PKG	B	10,000	40.53	n/a	21-Feb	300.00	3.0
ß BUCK CAPITAL MGMT		PNRA	C	29,900	156.08	n/a	6-Feb	non-brg	4.0
f IAN L MILLER	FID	RDN	B	150	7.56	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RH	S	28,200	37.06	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RH	S	4,500	37.04	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RH	S	4,500	37.04	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RH	S	5,000	36.98	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RH	S	5,000	36.98	n/a	n/a	non-brg	2.0
DELTEC ASSET MGMT.	040	RKT	S	34,850	83.26	n/a	21-Feb	1,742.50	5.0
f YANAI A FRANK	FID	RNF	B	500	39.34	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	RSE	B	400	16.87	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	SCHW	S	32,000	16.45	n/a	n/a	960.00	3.0
ß BUCK CAPITAL MGMT		SHOO	S	20,000	45.18	n/a	n/a	non-brg	1.0
KAM ADVISORS LLC	041	SHW	S	10,500	155.70	n/a	n/a	315.00	0.0
MACELLUM CAPITAL	086	SIG	SS	35,000	60.46	n/a	n/a	1,050.00	0.0
DPB CAPITAL	029	SIRI	B	5,000	3.08	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	SPR	B	7,500	16.24	n/a	20-Feb	375.00	5.0
VISIUM/BALY BOBBY	044	SPY	C	150,000	150.24	n/a	n/a	7,500.00	0.0
f YANAI A FRANK	FID	SWKS	B	465	21.19	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TITN	B	20,000	28.31	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	45,848	44.18	n/a	21-Feb	non-brg	4.0
f JARROD MICHAEL FEINS	FID	TMH	B	200	32.61	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	TYL	B	15,938	55.41	n/a	n/a	637.52	0.0
ß BUCK CAPITAL MGMT		UA	B	10,000	47.69	n/a	20-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	B	6,000	85.62	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	ULTA	B	45	87.11	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	UNT	B	30	1.00	n/a	31-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	25,000	40.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URI	B	10,000	50.62	n/a	17-Apr	non-brg	4.0
CATAPULT CAP/DEFRANCO	040	WMT	SS	22,000	70.94	n/a	21-Feb	880.00	0.0
ß BUCK CAPITAL MGMT		WNC	B	50,000	9.38	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		ZUMZ	S	20,000	23.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		ZUMZ	S	40,000	23.42	n/a	n/a	non-brg 4.0
TOTAL (Trade Date):								62,025.20

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/20	CASTLEROCK	040	CAKE	SS	3,300	33.46	n/a	21-Feb	132.00 0.0
AO,CXL	02/20	CASTLEROCK	040	CAKE	SS	2,300	33.46	n/a	21-Feb	92.00 0.0
AO,CRT	02/20	GUGGENHEIM GLOBAL TRADING (GGT)	251	HNZ	B	93,500	72.16	n/a	n/a	1870.00 2.0
AO,CXL	02/20	GUGGENHEIM GLOBAL TRADING (GGT)	251	HNZ	B	93,500	72.16	n/a	n/a	3740.00 4.0
TOTAL (AO, CXL, CRT) :										-1,830.00

TOTAL (Trade Date) :	62,025.20
TOTAL (AO, CXL, CRT) :	-1,830.00

TOTAL (RUN DATE) / NFS :	60,195.20
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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 21-Feb.
NONE

MRI Securities without Trade Activity on 21-Feb.
JWN, M, KSS

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)