



Daily Compliance Activity Report

Trade Date: 02/14/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	100,000	20.10	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	50,000	20.00	n/a	2-Dec	non-brg	4.0
CHRISTY FRANK	FID	ALDW	S	650	27.83	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	AON	B	11,800	57.39	n/a	n/a	472.00	0.0
MOORE CAPITAL	041	APA	B	50,000	83.36	n/a	14-Feb	1,500.00	0.0
JOSEPH CIRO AMATURO	FID	ARR	B	5000	6.71	n/a	n/a	0.00	0.0
DC CAPITAL	044	BA	S	25,000	74.92	n/a	6-Feb	1,000.00	4.0
BUCK CAPITAL MGMT		BBY	C	99,800	15.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BCC	B	6,800	27.53	n/a	n/a	non-brg	4.0
HEIGHTS CAPITAL	251	BLL	SS	14,339	45.23	n/a	n/a	573.56	0.0
ARSENAL ASSET MANAGEMENT	028	BWA	SS	5,000	75.10	n/a	14-Feb	200.00	0.0
BUCK CAPITAL MGMT		CAR	B	50,000	23.67	n/a	n/a	non-brg	1.0
HEIGHTS CAPITAL	251	CCK	B	21,500	39.69	n/a	n/a	860.00	0.0
BUCK CAPITAL MGMT		CCL	C	79,800	37.26	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL040	CMG		B	2,500	315.18	n/a	6-Feb	75.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	COF	B	19,700	54.87	n/a	14-Feb	788.00	0.0
B BUCK CAPITAL MGMT		COLM	C	19,900	53.52	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CPB	SS	20,000	39.54	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	CTL	B	100,000	33.00	n/a	n/a	3,000.00	0.0
SANDLER CAPITAL	028	CTXS	B	125,000	71.98	n/a	n/a	5,000.00	0.0
PROSPECTOR PARTNERS LLC	036	CVC	S	10,000	15.19	n/a	n/a	400.00	4.0
f EDWARD W WHEELER	FID	CVGI	B	4700	7.65	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	CVGI	B	2000	7.75	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	CVGI	B	300	7.68	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	S	10,000	36.59	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)251		CXW	B	13,000	37.67		n/a n/a	520.00	4.0
NOMURA/ANGEL LANE PRINCIPAL040		DAL	B	50,000	14.45	n/a	11-Feb	1,500.00	3.0
GOLD SACHS SPECIAL SIT	030	DAN	S	102,500	17.13	n/a	15-Jan	5,125.00	5.0
NOMURA/ANGEL LANE PRINCIPAL040		DLTR	B	40,000	39.94	n/a	12-Feb	1,200.00	3.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	S	25,000	38.81	n/a	12-Feb	750.00	3.0
T. ROWE PRICE	243	DLTR	B	211,810	39.71	n/a	12-Feb	8,472.40	0.0
RAINIER INV MGMT	033	DSW	S	14,130	67.85	n/a	11-Feb	565.20	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	031	EAT	SS	46,900	32.04	n/a	28-Jan	1,876.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	EL	S	14,000	63.34	n/a	6-Feb	420.00	3.0
⚡ BUCK CAPITAL MGMT		ENR	C	32,500	90.93	n/a	4-Feb	non-brg	4.0
⚡ KAREN F LEDDY	FID	FBC	B	500	14.98	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	FBHS	S	5,000	34.33	n/a	n/a	200.00	4.0
⚡ BUCK CAPITAL MGMT		FL	S	50,000	33.30	n/a	13-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FNP	B	58,000	17.19	n/a	n/a	non-brg	0.8
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	18.89	n/a	14-Feb	400.00	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	25,000	27.87	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		FRAN	B	5,000	27.34	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FRAN	B	70,000	27.78	n/a	n/a	non-brg	4.0
HEIGHTS CAPITAL	251	F	B	398,340	13.11	n/a	14-Feb	15,933.60	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GEO	B	2,000	33.29		n/a	n/a	80.00 4.0
⚡ BUCK CAPITAL MGMT		GES	C	69,900	28.46	n/a	4-Feb	non-brg	0.8
ALLIANZ/NICOLAS APPELATE	084	GE	B	44,100	23.25		n/a	n/a	882.00 0.0
⚡ BUCK CAPITAL MGMT		GM	B	18,000	27.82	n/a	14-Feb	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEIGHTS CAPITAL	251	GM	S	145,211	27.82	n/a	14-Feb	5,808.44	0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	15,000	28.83	n/a	14-Feb	600.00	4.0
RIDGECREST INV MGMT LLC	028	GM	B	10,000	27.84	n/a	14-Feb	400.00	4.0
ROSEDALE CAPITAL	046	GM	B	10,000	27.75	n/a	14-Feb	500.00	5.0
SCOPUS FUND	041	GM	B	50,000	27.76	n/a	14-Feb	2,000.00	4.0
TROUBH PART	070	GM	B	25,000	28.26	n/a	14-Feb	1,250.00	5.0
VERITION	028	GM	B	15,000	28.28	n/a	14-Feb	450.00	3.0
WOOSTER CAPITAL	044	GM	B	75,000	28.08	n/a	14-Feb	3,000.00	4.0
B BUCK CAPITAL MGMT		GNC	S	20,000	39.72	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	GNC	SS	25,000	38.12	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		HD	C	20,000	67.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HIBB	C	20,000	52.58	n/a	n/a	non-brg	4.0
GEORGE WEISS	278	HUM	SS	10,000	77.97	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	JBLU	B	40,000	5.89	n/a	11-Feb	1,200.00	3.0
COOPER CREEK PART	028	JNY	SS	10,000	11.88	n/a	14-Feb	400.00	4.0
HIGHLINE ADV	044	KOG	B	16,300	9.20	n/a	n/a	815.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,050	36.94	n/a	7-Feb	502.50	5.0
B BUCK CAPITAL MGMT		LCC 2 P14	S	5,000	0.31	n/a	n/a	non-brg	100.0
BRIGADE CAPITAL MGMT	029	LCC	S	50,000	14.21	n/a	14-Feb	1,500.00	0.0
CYRUS CAPITAL	025	LCC	B	252,250	13.62	n/a	14-Feb	7,567.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAR CAPITAL	268	LCC	B	200,000	14.21	n/a	14-Feb	8,000.00	0.0
STANDARD PACIFIC CAPITAL	084	LCC	B	133,800	13.69	n/a	14-Feb	6,690.00	5.0
BASSWOOD PARTNERS	267	LEA	B	4,000	55.18	n/a	12-Feb	160.00	0.0
STANDARD PACIFIC CAPITAL	084	LEA	B	163,830	54.87	n/a	12-Feb	8,191.50	5.0
B BUCK CAPITAL MGMT		LOW	C	30,000	39.55	n/a	n/a	non-brg	4.0
HARVEST MGMT (JMP)	029	LULU	SS	5,000	66.60	n/a	13-Feb	200.00	4.0
SENATOR INVESTMENT GROUP	036	LUV	SS	200,000	11.42	n/a	11-Feb	6,000.00	3.0
PALESTRA	040	MDLZ	S	100,000	26.80	n/a	n/a	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	MHP	S	20,700	44.68	n/a	n/a	828.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	100.08	n/a	n/a	200.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	31.58	n/a	30-Jan	1,250.00	5.0
OSKIE CAPITAL MGMT	224	MWV	B	45,000	31.64	n/a	30-Jan	2,250.00	5.0
PROSPECTOR PARTNERS LLC	036	NRG	S	10,000	24.05	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	NUAN	B	40,000	19.01	n/a	n/a	1,200.00	3.0
SCOPUS FUND	041	OI	S	10,300	26.07	n/a	n/a	412.00	4.0
CR INTRINIC INVESTMENT	044	OMX	S	30,000	10.80	n/a	n/a	900.00	3.0
BAIRD INVESTMENT	047	PCP	S	2,305	184.87	n/a	5-Feb	115.25	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ARTHUR K	FID	PRHSX	S	559	44.85	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	QCOM	B	10,000	65.40	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		RH	S	13,500	38.97	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	10,000	82.59	n/a	5-Feb	300.00	3.0
B BUCK CAPITAL MGMT		RLGY	S	20,000	47.86	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SGI	B	500	15.42	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKS	SS	20,000	11.30	n/a	n/a	non-brg	1.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SPY	SS	3,000	152.27		n/a	n/a	120.00 4.0
BNP PARIBAS SEC	040	TGT	S	30,000	63.27	n/a	7-Feb	900.00	3.0
SENATOR INVESTMENT GROUP	036	TGT	SS	60,000	63.19	n/a	7-Feb	1,800.00	3.0
FARALLON CAP MGMT	040	TIF	B	33,999	63.15	n/a	n/a	1,359.96	4.0
f MARK DEVEREAUX KAICH	FID	TIVO	S	80	0.23	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TRW	S	20,987	59.93	n/a	n/a	839.48	4.0
BALYASNY ASSET MGMT	044	TSCO	SS	10,000	104.01	n/a	n/a	500.00	0.0
LATEEF MGMT	033	TSN	S	2,000	24.10	n/a	n/a	217.50	11.6
f BRIAN P CLIFFORD	FID	TSON	B	5000	2.59	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	UAL	B	45,356	25.29	n/a	11-Feb	1,814.24	0.0
f ALEXANDRA ELISE ZOLI	FID	ULTA	B	150	87.88	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ULTA	B	23,000	87.83	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		ULTA	B	90,000	88.23	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	ULTA	B	100	87.80	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	ULTA	B	300	88.23	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	USB	C	7,524	33.87	n/a	n/a	300.96	0.0
ß BUCK CAPITAL MGMT		WFM	C	49,900	87.20	n/a	n/a	non-brg	4.0
KAM ADVISORS LLC	041	X	C	79,000	23.45	n/a	n/a	2,370.00	0.0
TOTAL (Trade Date) :								130,405.09	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/13	ADAGE CAPITAL MGMT	030	COH	B	150,000	49.12	n/a	14-Feb	4500.00 0.0
AO,CRT	02/13	ADAGE CAPITAL MGMT	030	COH	B	50,000	49.12	n/a	14-Feb	1500.00 3.0
AO,CXL	02/13	ADAGE CAPITAL MGMT	030	COH	B	200,000	49.12	n/a	14-Feb	6000.00 3.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	130,405.09
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	130,405.09
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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 14-Feb.
NONE

MRI Securities without Trade Activity on 14-Feb.
HSC, STZ, CSCO, WRC, AVP, BUD, HSP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)