



# Daily Compliance Activity Report

Trade Date: 01/18/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		1023 HK	<b>S</b>	37,000	0.63	n/a	n/a	non-brg	0.1
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>AAPL</b>	<b>S</b>	100	499.18	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANN	B	50,000	32.04	n/a	n/a	1,750.00	3.5
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>APP</b>	<b>S</b>	7000	1.31	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	AXL	B	20,000	11.03	n/a	17-Jan	800.00	4.0
WEISS PECK - ROBECO INV		040 BGFV		SS	5,100	14.22	n/a	n/a	255.00 0.0
CRAMER ROSENTHAL	070	BMC	B	250	43.81	n/a	n/a	10.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>BODY</b>	<b>S</b>	37,487	8.36	n/a	n/a	non-brg	2.5
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>SS</b>	10,000	33.13	n/a	3-Jan	non-brg	4.0
DELTEC ASSET MGMT.	040	CAM	B	14,000	58.72	n/a	n/a	700.00	5.0
CRAMER ROSENTHAL	070	CCJ	B	500	21.51	n/a	n/a	20.00	0.0
FARALLON CAP MGMT	040	CHKP	S	55,000	48.12	n/a	n/a	1,650.00	3.0
OMEGA ADVISORS	041	COF	B	278,000	56.77	18-Jan	18-Jan	11,120.00	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>DAN</b>	<b>B</b>	200	0.60	n/a	15-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
NOMURA/ANGEL LANE PRINCIPAL	040	DD	B	40,000	46.73	18-Jan	18-Jan	1,200.00	3.0	
B BUCK CAPITAL MGMT		DELB BB	SS	20,000	47.90	n/a	n/a	non-brg	7.2	
OHIO PERS	047	DHR	S	23,100	59.81	n/a	n/a	693.00	0.0	
B BUCK CAPITAL MGMT		DRI	SS	20,000	45.41	n/a	3-Jan	non-brg	4.0	
f CICILY S BACKUS	FID	DVN	S	1000	54.18	n/a	17-Jan	0.00	0.0	
f LBP ENTERPRISES INC	FID	DVN	S	1000	54.18	n/a	17-Jan	0.00	0.0	
BRIGADE CAPITAL MGMT	029	DYN	B	100,000	19.98	n/a	n/a	3,000.00	0.0	
f DAVID GEORGE BUCK	FID	EEM	B	1000	44.74	n/a	n/a	0.00	0.0	
f MATTHEW FRANCIS BUCK	FID	EEM	B	200	44.75	n/a	n/a	0.00	0.0	
f MATTHEW FRANCIS BUCK	FID	EFA	B	300	58.15	n/a	n/a	0.00	0.0	
CRAMER ROSENTHAL	070	EL	B	100	62.82	n/a	21-Dec	4.00	0.0	
f ALEXANDRA ELISE ZOLI	FID	EXPR	S	1000	17.79	n/a	n/a	0.00	0.0	
f JOHN MICHAEL ZOLIDIS	FID	EXPR	S	1000	17.79	n/a	n/a	0.00	0.0	
f JOHN MICHAEL ZOLIDIS	FID	EXPR	S	1500	17.79	n/a	n/a	0.00	0.0	
f JASON ERIC COHEN	FID	FBN	B	2000	1.07	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	FINL	S	10,000	17.75	n/a	4-Jan	500.00	5.0	
ALLIANZ/NICOLAS APPELATE		084 FLR		S	27,100	62.85	n/a	n/a	542.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OTTER CREEK MGMT	093	FL	B	20,000	33.44	n/a	21-Dec	1,000.00	5.0
IONIC CAPITAL MANAGEMENT	041	GEO	SS	11,500	32.82	n/a	n/a	345.00	0.0
CRAMER ROSENTHAL	070	GIS	B	250	41.21	n/a	n/a	10.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	12.11	18-Jan	18-Jan	1,000.00	5.0
TIDE POINT CAPITAL	028	GPI	B	9,000	64.89	n/a	11-Jan	270.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HLF</b>	<b>S</b>	<b>10</b>	<b>1.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	HOG	B	200	51.90	n/a	n/a	8.00	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>HPQ</b>	<b>B</b>	<b>95</b>	<b>0.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	HSP	B	300	34.90	n/a	16-Jan	12.00	0.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>IAU</b>	<b>S</b>	<b>20</b>	<b>0.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	091	JCI	B	1,425	30.60	n/a	10-Jan	57.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>SS</b>	<b>30,000</b>	<b>11.61</b>	<b>n/a</b>	<b>25-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>C</b>	<b>20,000</b>	<b>44.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>JPMRW</b>	<b>B</b>	<b>2000</b>	<b>25.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	JWN	B	200	55.41	n/a	4-Jan	8.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		KORS	S	40,000	54.12	n/a	17-Jan	non-brg	4.0
CRAMER ROSENTHAL	070	KRFT	B	200	46.90	n/a	n/a	8.00	0.0
CORVEX CAPITAL	041	LEA	B	100,000	47.79	n/a	14-Jan	3,000.00	0.0
J. GOLDMAN	028	LEA	B	6,000	47.73	n/a	14-Jan	240.00	4.0
J. GOLDMAN	028	LEA	SS	6,000	48.05	n/a	14-Jan	240.00	4.0
⚡ BUCK CAPITAL MGMT		MW	S	20,000	32.56	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NCLH	B	50,000	19.00	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		NCLH	S	14,902	25.17	n/a	n/a	non-brg	2.5
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086 NFLX S 1,466 101.00 n/a n/a 43.98 0.0									
ROTHSCHILD ASSET	040	PCL	S	13,634	46.91	n/a	18-Jan	545.36	0.0
WADDELL AND REED	047	PFE	S	469,500	26.49	n/a	n/a	18,780.00	0.0
OHIO PERS	047	PH	B	15,200	90.71	n/a	n/a	456.00	0.0
⚡ BUCK CAPITAL MGMT		PII	S	30,000	89.33	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PNRA	SS	10,000	162.57	n/a	3-Jan	non-brg	4.0
ASCEND PARTNERS	033	PVH	B	3,500	116.18	n/a	17-Jan	105.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	25,000	74.55	n/a	17-Jan	1,250.00	5.0
CORNERSTONE	030	RL	B	36,835	167.68	n/a	5-Nov	1,105.05	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	RTN	S	10,000	57.75	n/a	15-Jan	300.00	0.0
OHIO PERS	047	SAPE	S	6,400	11.84	n/a	n/a	192.00	0.0
WEISS PECK - ROBECO INV		040 SCVL		SS	6,900	20.79	n/a	n/a	345.00 0.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>SGI</b>	<b>B</b>	<b>1200</b>	<b>11.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SGI</b>	<b>B</b>	<b>700</b>	<b>11.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>20,000</b>	<b>46.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>50,000</b>	<b>18.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>SS</b>	<b>10,000</b>	<b>61.52</b>	<b>n/a</b>	<b>3-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SYMPHONY ASSET	033	TSN	C	52,020	21.86	n/a	n/a	1,560.60	0.0
MILLRACE FUND LP	028	TXRH	B	15,800	18.35	n/a	n/a	632.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WFM</b>	<b>SS</b>	<b>10,000</b>	<b>90.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WLP</b>	<b>S</b>	<b>10</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	30.53	n/a	18-Jan	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>C</b>	<b>155,000</b>	<b>49.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>YUM</b>	<b>SS</b>	<b>10,000</b>	<b>65.07</b>	<b>n/a</b>	<b>14-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>1400</b>	<b>6.09</b>	<b>n/a</b>	<b>10-May</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**54,506.99**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	01/17	CASTLEROCK	040	CMG	SS	1,000	291.16	n/a 17-Jan	40.00 0.0
AO,	01/17	CORVEX CAPITAL	041	LEA	B	45,000	48.68	n/a 14-Jan	1350.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>1,390.00</b>

TOTAL (Trade Date):	54,506.99
TOTAL (AO, CXL, CRT):	1,390.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>55,896.99</b>
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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 18-Jan.

COF, DD, GLW

MRI Securities without Trade Activity on 18-Jan.

AXP, PBCT, SHW, SIAL, PX, MON, PPG, IFF, MMM, ECL, DOW, AVY, CBT, ADM, ASH, ARG, APD

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)**