



Daily Compliance Activity Report

Trade Date: 03/20/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	33.60	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	10,000	47.72	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	20,000	47.28	n/a	n/a	non-brg	0.8
GUGGENHEIM GLOBAL TRADING (GGT) 251	ARCP		S	10,000	14.65		n/a	n/a	300.00 3.0
⚡ BUCK CAPITAL MGMT		ARO	SS	100,000	13.99	n/a	n/a	non-brg	4.0
WEXFORD CAPITAL	284	AXL	B	19,000	13.60	n/a	19-Mar	570.00	3.0
BASSWOOD PARTNERS	267	BAC	S	50,000	12.81	n/a	15-Mar	2,000.00	0.0
⚡ BUCK CAPITAL MGMT		BCC	S	79,817	33.35	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	BONT	B	1,000	13.32	n/a	13-Mar	40.00	4.0
NEW JERSEY DIV OF INV.	030	CAT	B	20,000	86.64	n/a	11-Jul	800.00	4.0
SCOPUS FUND	041	CCE	B	10,600	37.11	n/a	n/a	424.00	0.0
SCOPUS FUND	041	CHS	B	60,000	17.45	n/a	5-Feb	2,400.00	0.0
COLUMBUS CIRCLE	036	CLGX	S	3,452	25.72	n/a	n/a	138.08	0.0
CR INTRINIC INVESTMENT	044	COST	B	40,000	103.04	n/a	n/a	1,200.00	3.0
S.A.C. CAPITAL	044	COST	B	20,000	103.20	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f LLOYD R KARP	FID	CRIMX	S	89	33.91	n/a	n/a	0.00	0.0
ROYCE TRADING	031	CROX	B	25,000	15.32	n/a	n/a	1,250.00	0.0
STATE TEACHERS RET SYS	047	CSCO	B	50,000	21.67	n/a	26-Feb	2,500.00	0.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	14.88	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	DPS	SS	30,000	45.48	n/a	n/a	900.00	3.0
f DAVID GEORGE BUCK	FID	EEM	S	2000	42.26	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EEM	S	200	42.27	n/a	n/a	0.00	0.0
f LLOYD R KARP	FID	EFT	S	200	17.68	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EWG	B	2000	25.25	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EWG	B	400	25.22	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EWG	B	400	25.24	n/a	n/a	0.00	0.0
HEIGHTS CAPITAL	251	EXPD	SS	21,971	37.15	n/a	n/a	878.84	0.0
HEIGHTS CAPITAL	251	EXPD	S	2,480	37.16	n/a	n/a	99.20	0.0
f DAVID GEORGE BUCK	FID	FB	S	2000	26.03	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FB	S	250	26.08	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	FB	S	250	26.04	n/a	n/a	0.00	0.0
HEIGHTS CAPITAL	251	FDX	B	9,803	98.95	n/a	n/a	392.12	0.0
PLATTE RIVER CAPITAL	046	FINL	B	52,330	18.75	n/a	20-Mar	2,093.20	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		FRAN	B	10,000	28.67	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	20,000	28.78	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GCO	SS	5,000	60.56	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	GES	B	78,000	26.61	n/a	12-Mar	3,120.00	0.0
⚡ BUCK CAPITAL MGMT		GIII	S	26,009	37.39	n/a	n/a	non-brg	4.0
STATE TEACHERS RET SYS	047	GRA	B	21,000	78.36	n/a	n/a	1,050.00	0.0
GLENHILL CAPITAL	036	HNR	B	141,100	3.53	n/a	n/a	7,055.00	5.0
f PETER D GOLDSTEIN	FID	INTC	B	200	0.02	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	INTC	B	62	0.01	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ITW	B	324,700	63.07	n/a	n/a	12,988.00	0.0
f LLOYD R KARP	FID	JDNRX	S	257	37.43	n/a	n/a	0.00	0.0
f LLOYD R KARP	FID	JSVAX	S	397	16.80	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	KBR	SS	10,000	31.48	n/a	n/a	400.00	0.0
BALYASNY ASSET MGMT	044	KMB	C	72,000	95.57	n/a	28-Feb	3,600.00	0.0
⚡ BUCK CAPITAL MGMT		KSS	SS	40,000	46.38	n/a	6-Mar	non-brg	4.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	350,000	16.97	n/a	5-Mar	14,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f LLOYD R KARP	FID	MFOCX	S	2043	18.87	n/a	n/a	0.00	0.0
f LLOYD R KARP	FID	MGRIX	S	1387	22.05	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT (HOOD RIVER CAP)	033	MLI	S	29,052	53.53		n/a	1-Mar	1,162.08 0.0
B BUCK CAPITAL MGMT		MODN	B	5,000	15.50	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MODN	S	5,000	20.22	n/a	n/a	non-brg	2.5
CAPITAL WORLD	084	MRK	S	500,000	44.22	n/a	n/a	17,500.00	0.0
SHEFFIELD ASSET MGMT	031	MSFT	S	75,000	28.26	n/a	n/a	3,000.00	4.0
B BUCK CAPITAL MGMT		MVRX	C	2,800	269.90	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MVRX	C	74,400	269.87	n/a	n/a	non-brg	21.6
CSFB GLOBAL PROPRIETARY	041	MWV	S	9,643	38.04	n/a	12-Mar	482.15	5.0
PECONIC PARTNERS	036	M	C	109,200	42.70	n/a	7-Mar	5,460.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	5,000	6.65		n/a	n/a	150.00 3.0
WEISS PECK/ROBECO/BOSTON PT		040	NR	S	50,000	8.99	n/a	n/a	2,000.00 0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	OMPI	S	10,000	19.71		n/a	n/a	300.00 3.0
MATRIX ASSET ADV.	091	OXY	B	1,500	80.31	n/a	n/a	60.00	4.0
MACELLUM CAPITAL	086	PERY	B	30,106	17.39	n/a	n/a	903.18	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	PNRA	B	9,000	163.69	n/a	18-Mar	360.00	4.0
RAINIER INV MGMT	033	RDEN	S	10,000	38.17	n/a	28-Feb	400.00	0.0
BALYASNY ASSET MGMT	044	RIO	C	50,000	47.57	n/a	n/a	2,500.00	0.0
CR INTRINIC INVESTMENT	044	ROST	S	30,000	56.09	n/a	7-Mar	900.00	3.0
B BUCK CAPITAL MGMT		SCSS	S	20,100	19.15	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SCSS	S	50,000	19.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	S	50,000	19.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	S	79,900	19.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	48,500	21.12	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	091	SLB	B	500	74.20	n/a	n/a	20.00	4.0
HOLLIS CAPITAL	033	SSI	B	10,000	25.31	n/a	13-Mar	500.00	5.0
ARMATURE CAPITAL	041	STR	SS	20,000	23.79	n/a	15-Apr	800.00	0.0
B BUCK CAPITAL MGMT		TGT	SS	15,000	68.45	n/a	13-Mar	non-brg	1.0
DSG CAPITAL	030	UPL	B	2,100	20.02	n/a	14-Mar	63.00	3.0
SCOPUS FUND	041	URS	B	35,000	46.70	n/a	n/a	1,400.00	0.0
CR INTRINSIC/CHRIS C	041	VC	S	25,000	57.88	n/a	n/a	750.00	3.0
CONIFER/FIRESTORM/BC	033	WFR	B	10,000	4.65	n/a	n/a	350.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f LLOYD R KARP	FID	WLCAX	S	888	14.99	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WSM	SS	10,000	50.22	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	40,000	49.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		XLY	C	338,500	52.31	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	587,250	70.13	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								98,658.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/19	SANDLER O'NEILL ASSET	031	LAZ	B	11,200	35.49	n/a	7-Mar	560.00 5.0
AO,CXL	03/19	SANDLER O'NEILL ASSET	031	LAZ	B	11,200	35.49	n/a	7-Mar	560.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	98,658.85
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	98,658.85
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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 20-Mar.
NONE

MRI Securities without Trade Activity on 20-Mar.
NONE

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)