



Daily Compliance Activity Report

Trade Date: 02/25/2013

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	25,000	20.57	n/a	2-Dec	non-brg 4.0
BUCK CAPITAL MGMT		ANF	B	10,700	46.88	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ANF	B	10,800	45.78	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ANF	B	20,000	45.89	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ANF	B	30,000	46.88	n/a	n/a	non-brg 4.0
BASSWOOD PARTNERS	267	AON	S	2,500	60.37	n/a	n/a	100.00 0.0
BUCK CAPITAL MGMT		ARO	SS	100,000	12.92	n/a	n/a	non-brg 4.0
M&I FUNDS	047	ARO	B	9,800	12.82	n/a	n/a	392.00 4.0
DC CAPITAL	044	ATI	B	100,000	29.90	n/a	25-Feb	4,000.00 4.0
NEUBERGER BERMAN	036	BKU	B	19,401	27.69	n/a	n/a	776.04 0.0
NEUBERGER BERMAN	036	BOH	B	19,079	48.84	n/a	n/a	763.16 0.0
NEUBERGER BERMAN	036	BOKF	B	12,193	58.86	n/a	n/a	487.72 0.0
BERYLSON CAPITAL	030	BONT	B	100,000	10.48	n/a	21-Feb	3,000.00 3.0
BUCK CAPITAL MGMT		BYI	S	20,000	48.73	n/a	n/a	non-brg 4.0
NEUBERGER BERMAN	036	CBU	B	15,092	28.51	n/a	n/a	603.68 0.0
ROBERTSON STEVENS	084	CMP	S	10,600	76.63	n/a	n/a	423.98 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	CMP	B	25,000	76.50	n/a	n/a	1,000.00	0.0
MERRILL ASSET/BLACKROCK	297	COF	B	24,000	52.42	n/a	25-Feb	960.00	0.0
THREE G	041	COH	S	159,788	47.22	n/a	14-Feb	4,793.64	0.0
J. GOLDMAN	028	COST	SS	2,000	101.87	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		CRMB-P	S	31,312	2.80	n/a	n/a	non-brg	2.0
J. GOLDMAN	028	DDS	SS	3,840	77.75	n/a	n/a	153.60	4.0
MACELLUM CAPITAL	086	DECK	S	52,000	40.76	n/a	n/a	1,560.00	0.0
f MANNY I KORMAN	FID	DLPH	B	3000	38.36	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	DOV	S	5,600	73.00	n/a	n/a	224.00	0.0
LATEEF MGMT	033	DOW	B	100	31.39	n/a	n/a	25.00	25.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	50,000	45.77	n/a	25-Feb	1,500.00	3.0
LOMAS CAPITAL	040	DRI	B	77,000	46.10	n/a	25-Feb	2,310.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	B	66,958	45.52	n/a	25-Feb	2,008.74	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	S	16,958	45.57	n/a	25-Feb	508.74	3.0
OZ MGMT	040	DRI	B	50,000	45.49	n/a	25-Feb	1,500.00	0.0
LATEEF MGMT	033	DVN	B	100	55.34	n/a	25-Feb	30.00	30.0
BASSWOOD PARTNERS	267	ESV	B	4,400	60.87	n/a	n/a	176.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f SERGEI BARANOVSKY	FID	FB	B	100	0.08	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FCPVX	S	323	17.53	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	FCX	B	1000	32.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	75,000	18.09	n/a	20-Feb	non-brg	4.0
KENNEDY CAPITAL	046	FINL	B	50,000	17.99	n/a	20-Feb	2,000.00	0.0
M&I FUNDS	047	FINL	B	1,950	18.05	n/a	20-Feb	78.00	4.0
FARBER	085	FL	B	20,000	33.62	n/a	25-Feb	800.00	4.0
B BUCK CAPITAL MGMT		FRAN	B	10,000	24.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	B	20,000	25.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	B	20,000	25.26	n/a	n/a	non-brg	4.0
RIVERPARK CAPITAL	025	FSLR	B	6,700	33.33	n/a	n/a	335.00	5.0
f CHRISTOPHER ROBERT C	FID	FSRPX	S	84	64.85	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	30,000	12.20	n/a	25-Feb	900.00	0.0
OZ MGMT	040	F	S	100,000	12.47	n/a	25-Feb	3,000.00	0.0
B BUCK CAPITAL MGMT		GCO	SS	24,969	59.84	n/a	n/a	non-brg	4.0
M&I FUNDS	047	GES	B	1,850	28.13	n/a	25-Feb	74.00	4.0
B BUCK CAPITAL MGMT		GIL	S	50,000	36.63	n/a	7-Feb	non-brg	4.0
LATEEF MGMT	033	GIS	S	100	45.84	n/a	n/a	30.00	30.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	S	59,141	26.91	n/a	25-Feb	1,774.23	0.0
⚡ BUCK CAPITAL MGMT		GWW	SS	2,200	225.09	n/a	12-Feb	non-brg	4.0
TUDOR INVESTORS	028	HIBB	B	12,500	51.82	n/a	n/a	375.00	3.0
LATEEF MGMT	033	HPQ	B	125	19.17	n/a	n/a	25.00	20.0
⚡ BUCK CAPITAL MGMT		HTZ	B	20,000	19.43	n/a	n/a	non-brg	4.0
OZ MGMT	040	IP	S	86,099	43.28	n/a	25-Feb	2,582.97	0.0
⚡ BUCK CAPITAL MGMT		JBLU	B	75,000	6.13	n/a	21-Feb	non-brg	3.0
⚡ BUCK CAPITAL MGMT		JOY	B	8,000	61.14	n/a	11-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KMT	B	12,500	40.99	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	20,000	45.88	n/a	21-Feb	non-brg	4.0
HARVEST MGMT (JMP)	029	KSS	B	10,000	46.25	n/a	21-Feb	400.00	4.0
f ANDREW LONGLEY TRUS	FID	KXI	B	25	78.33	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	KXI	B	25	78.33	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	KXI	B	25	78.33	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	LDR	S	2,097	58.42	n/a	n/a	83.88	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	53,600	54.25	n/a	12-Feb	1,608.00	3.0
⚡ BUCK CAPITAL MGMT		M 4 C40	SS	1,000	1.09	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	MINI	S	500	26.50	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	MLHR	S	1,900	24.00	n/a	n/a	76.00	0.0
HARVEST MGMT (JMP)	029	M	SS	10,000	39.21	n/a	21-Feb	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	M	S	117,273	38.86	n/a	21-Feb	3,518.19	0.0
f SERGEI BARANOVSKY	FID	NIHD	B	100	0.05	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	NKE	S	25,000	54.64	n/a	20-Feb	750.00	3.0
THREE G	041	NLSN	S	30,500	32.72	n/a	n/a	915.00	0.0
B BUCK CAPITAL MGMT		NWY	S	20,700	4.26	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RH	S	26,400	35.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		RH	S	3,600	35.85	n/a	n/a	non-brg	2.0
f RAVI SADARANGANI	FID	RKT	S	500	85.25	n/a	22-Feb	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	RL	B	50	169.08	n/a	21-Feb	0.00	0.0
B BUCK CAPITAL MGMT		RUSHA	S	500	23.75	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	RUSHA	B	200	4.20	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	RYL	B	3	0.70	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	SF	B	15,100	38.00	n/a	n/a	604.00	0.0
B BUCK CAPITAL MGMT		SHOO	S	40,000	45.35	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SIG	SS	21,039	59.88	n/a	n/a	non-brg	4.0
M&I FUNDS	047	STNR	B	1,250	45.04	n/a	n/a	50.00	4.0
ß BUCK CAPITAL MGMT		TDG	C	10,000	139.99	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	TGT	SS	100,000	63.44	n/a	25-Feb	3,000.00	3.0
ß BUCK CAPITAL MGMT		TIF	SS	20,000	64.88	n/a	n/a	non-brg	4.0
DENVER INST. ADV	046	TUMI	B	30,500	23.32	n/a	n/a	1,220.00	0.0
NEWLAND CAPITAL MGT	025	UFS	S	7,500	75.68	n/a	n/a	300.00	4.0
ß BUCK CAPITAL MGMT		ULTA	S	20,000	88.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	12,500	39.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	39.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	30,000	39.94	n/a	n/a	non-brg	4.0
RATAN CAPITAL MGMT LP	041	VRX	B	50,000	66.04	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	WAL	B	57,400	13.32	n/a	n/a	2,296.00	0.0
DECADE CAPITAL CHRIS C	041	WBC	SS	4,504	67.84	n/a	15-Feb	180.16	0.0
SENATOR INVESTMENT GROUP	036	WCRX	B	96,640	13.79	n/a	25-Feb	2,899.20	3.0
ß BUCK CAPITAL MGMT		WERN	S	10,000	22.74	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	WFC	S	38,800	35.12	n/a	25-Feb	1,552.00	0.0
ASCEND PARTNERS	033	WTR	B	18,006	28.72	n/a	n/a	540.18	0.0
⚡ BUCK CAPITAL MGMT		XRT	C	30,000	66.81	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		ZUMZ	S	20,000	22.31	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ZUMZ	S	20,000	22.31	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	ZUMZ	B	20,000	22.29	n/a	n/a	600.00	3.0
TOTAL (Trade Date):								61,843.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/22	OZ MGMT	040	DRI	S	49,834	46.13	n/a	25-Feb	1495.02 0.0
AO,CXL	02/22	OZ MGMT	040	DRI	S	49,834	46.13	n/a	25-Feb	1495.02 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	61,843.11
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	61,843.11
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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 25-Feb.
NONE

MRI Securities without Trade Activity on 25-Feb.
CLX

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)