



Daily Compliance Activity Report

Trade Date: 01/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1023 HK	S	42,000	0.64	n/a	n/a	non-brg	0.0
COLUMBUS CIRCLE	036	ACIW	S	5,734	45.02	n/a	n/a	229.36	0.0
STELLIAM INV ADV	086	AMAT	SS	35,000	11.81	n/a	n/a	1,400.00	0.0
SENATOR INVESTMENT GROUP	036	ASH	B	4,700	84.24	n/a	17-Dec	141.00	0.0
DC CAPITAL	044	ATI	B	50,000	29.85	n/a	15-Jan	2,000.00	4.0
1798 CAP/LOMBARD ASSET	040	AXL	B	20,000	11.27	n/a	16-Jan	1,000.00	0.0
f JARROD MICHAEL FEINS	FID	AXL	B	200	11.15	n/a	16-Jan	0.00	0.0
KAM ADVISORS LLC	041	AXL	B	39,100	11.30	n/a	16-Jan	1,173.00	0.0
B BUCK CAPITAL MGMT		BA	B	27,000	74.24	n/a	16-Jan	non-brg	0.8
CASTLEROCK	040	BA	B	70,670	74.02	n/a	16-Jan	2,826.80	2.0
UBS OCONNOR	031	BEN	B	10,000	135.74	n/a	2-Mar	300.00	0.0
B BUCK CAPITAL MGMT		BKW	C	100,000	17.83	n/a	14-Jan	non-brg	0.8
BASSWOOD PARTNERS	267	BK	B	33,900	25.95	n/a	16-Jan	1,356.00	0.0
UBS OCONNOR	031	BLK	S	16,476	222.19	n/a	n/a	494.28	0.0
NWQ INVESTMENT MGMT CO	084	BOBE	B	2,500	43.32	n/a	n/a	87.50	0.0
B BUCK CAPITAL MGMT		BODY	S	60,000	8.41	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	BRKB	S	18,263	95.03	n/a	n/a	730.52	0.0
NWQ INVESTMENT MGMT CO	084	CLW	B	2,400	42.13	n/a	n/a	84.00	0.0
NWQ INVESTMENT MGMT CO	084	COHR	B	1,000	53.11	n/a	n/a	35.00	0.0
SAFRA ASSET MGMT.	040	DAL	SS	25,000	13.65	n/a	14-Jan	750.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	39.24	n/a	15-Jan	1,250.00	5.0
JET CAPITAL/CHRIS	041	DGI	B	130,000	28.61	n/a	n/a	3,900.00	0.0
f JARROD MICHAEL FEINS	FID	DRL	B	100	0.70	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	EPR	B	2,360	46.03	n/a	n/a	94.40	0.0
DAVIDSON KEMPNER ADVISOR	040	FDX	B	53,000	99.18	n/a	n/a	2,650.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	6,000	18.68	n/a	8-Nov	210.00	0.0
OZ MGMT	040	F	C	105,552	14.19	n/a	11-Jan	3,166.56	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	100,000	21.10	n/a	n/a	3,000.00	3.0
GEORGE WEISS	278	GM	B	20,000	29.33	n/a	16-Jan	800.00	0.0
J. GOLDMAN	028	GM	S	20,000	29.06	n/a	16-Jan	800.00	4.0
PHILADELPHIA FINANCIAL	033	GM	B	23,498	29.38	n/a	16-Jan	939.92	0.0
f DAVID GEORGE BUCK	FID	GS	S	10	0.75	n/a	15-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	GS	B	20,000	138.53	n/a	15-Jan	600.00	0.0
NWQ INVESTMENT MGMT CO	084	HAR	B	2,700	50.03	n/a	3-Feb	94.50	0.0
TRUST CO/COWEN/CALF.	040	HIG	B	223,178	24.11	n/a	n/a	8,927.12	0.0
f CHRISTY FRANK	FID	INTC	B	685	21.91	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	40.52	16-Jan	16-Jan	2,500.00	5.0
JET CAPITAL/CHRIS	041	IYR	SS	50,000	66.73	n/a	n/a	1,500.00	0.0
BTG PACTUAL	040	JBLU	B	20,000	6.03	16-Jan	16-Jan	600.00	3.0
B BUCK CAPITAL MGMT		JNY	SS	20,000	11.57	n/a	25-Oct	non-brg	4.0
IRIDIAN ASSET MGMT.	036	LSI	B	15,080	7.31	n/a	n/a	754.00	0.0
LIONEYE CAPITAL	040	LULU	SS	5,000	68.16	n/a	15-Jan	250.00	5.0
FIRST NEW YORK	086	NOK	B	20,000	4.60	n/a	n/a	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	38.93	16-Jan	16-Jan	1,250.00	5.0
CORNERSTONE	030	RL	B	111,582	166.60	n/a	5-Nov	3,347.46	0.0
KENNEDY CAPITAL	046	RUE	B	25,000	30.00	n/a	n/a	1,000.00	0.0
KOLVEN CAPITAL	025	SFTBY	S	3,000	16.63	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		SLXP	SS	10,900	45.87	n/a	16-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	10,000	147.00	n/a	n/a	500.00	0.0
B BUCK CAPITAL MGMT		SSI	B	20,000	22.86	n/a	15-Jan	non-brg	4.0
COUGAR TRADING	044	SSI	B	15,000	22.99	n/a	15-Jan	750.00	5.0
NOMURA INTERNATIONAL PLC	085	STZ	S	16,000	38.03	16-Jan[i]	16-Jan	608.50	0.0
NWQ INVESTMENT MGMT CO	084	TCBI	B	2,500	46.47	n/a	n/a	87.50	0.0
NWQ INVESTMENT MGMT CO	084	TER	B	7,800	16.81	n/a	n/a	273.00	0.0
ROTHSCHILD ASSET	040	TKR	S	2,255	49.65	n/a	n/a	90.20	0.0
COLUMBUS CIRCLE	036	TNGO	S	4,100	14.61	n/a	n/a	164.00	0.0
NWQ INVESTMENT MGMT CO	084	TRS	B	4,300	29.02	n/a	n/a	150.50	0.0
BRONSON POINT	036	T	C	25,000	33.25	n/a	n/a	750.00	0.0
NWQ INVESTMENT MGMT CO	084	WCC	B	700	67.90	n/a	n/a	24.50	0.0
PLATTE RIVER CAPITAL	046	WMT	S	4,350	69.24	n/a	15-Nov	174.00	0.0
NWQ INVESTMENT MGMT CO	084	WSH	B	2,600	34.72	n/a	n/a	91.00	0.0
B BUCK CAPITAL MGMT		WWW	SS	20,000	41.69	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	XLI	SS	50,000	39.14	n/a	n/a	2,500.00	0.0
B BUCK CAPITAL MGMT		ZUMZ	C	17,600	21.19	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

57,294.62

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/15	COLUMBUS CIRCLE	036	ACIW	S	2,327	45.66	n/a	n/a	93.08 0.0
AO,	01/15	COLUMBUS CIRCLE	036	BKD	B	7,435	27.11	n/a	n/a	297.40 0.0
TOTAL (AO, CXL, CRT) :										390.48

TOTAL (Trade Date):	57,294.62
TOTAL (AO, CXL, CRT):	390.48

TOTAL (RUN DATE) / NFS:	57,685.10
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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 16-Jan.

IP, JBLU, PKG, STZ

MRI Securities without Trade Activity on 16-Jan.

RKT

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)