



Daily Compliance Activity Report

Trade Date: 05/09/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ADS	B	18,553	176.62	n/a	n/a	742.12	0.0
KEY ASSET MGMT/VICTORY	220	ALTR	B	201,510	33.01	n/a	n/a	8,060.40	0.0
B BUCK CAPITAL MGMT		ANN	SS	16,000	31.61	n/a	n/a	non-brg	4.0
f ALEXANDRA ELISE ZOLI	FID	APP	S	6000	1.81	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	APP	S	10000	1.81	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ATR	S	9,250	56.16	n/a	n/a	370.00	0.0
CASTLE ARK	031	CAT	B	90,360	90.50	n/a	11-Jul	3,614.40	0.0
f MANNY I KORMAN	FID	CBI	B	3000	57.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CCL	SS	30,000	35.18	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	COG	S	59,650	67.59	n/a	2-May	2,386.00	0.0
RK CAPTIAL MGMT	046	CPTS	S	25,800	30.97	n/a	n/a	1,290.00	0.0
B BUCK CAPITAL MGMT		CYNI	B	1,000	11.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		CYNI	S	1,000	11.03	n/a	n/a	non-brg	2.5
SIGMA CAP BOBBY	044	DPZ	S	10,000	57.96	n/a	30-Apr	300.00	0.0
BRONSON POINT	036	DTV	SS	25,000	62.96	n/a	n/a	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KEY ASSET MGMT/VICTORY	220	DTV	S	146,140	62.92	n/a	n/a	5,845.60	0.0
T. ROWE PRICE	243	DWRE	S	20,000	29.61	n/a	n/a	800.00	0.0
B BUCK CAPITAL MGMT		EBAY	B	120,000	55.33	n/a	n/a	non-brg	4.0
PARKWEST	084	ELNK	SS	138,800	5.86	n/a	n/a	4,164.00	0.0
ROTHSCHILD ASSET	040	FAF	B	44,358	26.68	n/a	n/a	1,774.32	0.0
COOPER CREEK PART	028	FINL	S	10,000	21.61	n/a	8-May	400.00	0.0
BRANDWINE	028	FITB	S	98,200	17.68	n/a	n/a	3,928.00	0.0
B BUCK CAPITAL MGMT		FNP	B	4,100	22.03	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		FNP	B	95,900	22.16	n/a	n/a	non-brg	4.0
WAGONHOUND/NICOLAS	033	FOR	S	60,324	23.74	9-May	9-May	2,412.96	0.0
TRELLUS PARTNERS LP	028	F	SS	11,000	14.23	n/a	9-May	330.00	0.0
B BUCK CAPITAL MGMT		GIL	B	30,000	42.83	n/a	3-May	non-brg	4.0
CR INTRINSIC/CHRIS C	041	GT	SS	25,000	12.96	n/a	n/a	750.00	0.0
f YANAI A FRANK	FID	HEES	S	3120	21.62	n/a	n/a	0.00	0.0
f CHRISTY FRANK	FID	INTC	S	880	24.46	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	INTC	S	183	0.06	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	IR	B	10,000	55.81	9-May	9-May	3.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL ALEXANDER SM	FID	ISRG	S	1	38.84	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	ISRG	S	5	38.70	n/a	n/a	0.00	0.0
BTG PACTUAL	040	JBLU	B	15,000	6.80	n/a	26-Apr	450.00	0.0
COUGAR TRADING	044	JNY	B	8,800	13.90	n/a	2-May	440.00	0.0
f MANNY I KORMAN	FID	KBR	B	10000	31.35	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	KEM	B	15000	5.16	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KNX	S	80,000	16.35	n/a	n/a	non-brg	4.0
TALON ASSET MGMT.	006	LCC	B	10,000	17.55	n/a	24-Apr	500.00	0.0
WOOSTER CAPITAL	044	LEA	S	20,000	60.00	n/a	29-Apr	800.00	0.0
B BUCK CAPITAL MGMT		LEN	S	24,000	42.54	n/a	n/a	non-brg	4.0
COBALT	041	LEN	B	100,000	42.67	n/a	n/a	4,000.00	0.0
STERLING CAPITAL MGMT.	093	LIFE	S	70,000	73.55	n/a	n/a	3,150.01	0.0
NEUBERGER BERMAN	036	LNC	B	37,457	34.56	n/a	n/a	1,498.28	0.0
COOPER CREEK PART	028	LPX	SS	10,000	19.60	n/a	8-May	400.00	0.0
ADAGE CAPITAL MGMT	030	LTD	S	12,937	52.75	n/a	n/a	388.11	0.0
NEUBERGER BERMAN	036	LUFK	S	15,000	88.35	n/a	n/a	600.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		LULU	SS	6,500	80.10	n/a	8-May	non-brg	4.0
BUCK CAPITAL MGMT		LULU	S	85,000	79.09	n/a	8-May	non-brg	4.0
NEUBERGER BERMAN	036	LXU	S	8,358	33.31	n/a	n/a	334.32	0.0
ROHINI T SADARANGANI	FID	MONIF	B	3000	0.60	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	MS	B	215,570	23.49	n/a	6-May	8,622.80	0.0
MANNY I KORMAN	FID	MTZ	B	3000	30.16	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	35,000	35.14	n/a	30-Apr	1,750.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	MWV	B	25,000	35.08	n/a	30-Apr	500.00	0.0
KEY ASSET MGMT/VICTORY	220	NSC	S	71,070	78.79	n/a	n/a	2,842.80	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	NUAN	B	5,000	19.00	n/a	n/a	100.00	0.0
ROSEDALE CAPITAL	046	NUAN	S	30,000	18.99	n/a	n/a	1,200.00	0.0
BUCK CAPITAL MGMT		PCLN 5 P700	B	90	7.57	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		PCLN	C	4,500	740.41	n/a	n/a	non-brg	4.0
KINGDON ASSET MGMT	041	PEP	B	20,000	83.13	n/a	n/a	800.00	0.0
BUCK CAPITAL MGMT		PVH	B	10,000	118.93	n/a	22-Apr	non-brg	4.0
BUCK CAPITAL MGMT		Q	B	20,000	43.77	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		Q	B	30,000	40.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		Q	S	19,502	42.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RDN	S	77,000	12.99	n/a	n/a	non-brg	4.0
f MICHAEL ALEXANDER SM	FID	RYTPX	S	2994	6.57	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	RYTPX	S	749	6.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHOO	S	20,000	48.73	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	SMG	SS	95,000	47.53	n/a	7-May	2,850.00	0.0
S.A.C. CAPITAL	044	SMG	B	40,000	47.56	n/a	7-May	1,200.00	0.0
f YANAI A FRANK	FID	SWKS	S	2775	23.26	n/a	n/a	0.00	0.0
HALCYON LLC	041	S	B	150,000	7.36	n/a	n/a	600.00	0.0
SCOPUS FUND	041	TRW	S	25,000	61.37	n/a	n/a	1,000.00	0.0
f SERGEI BARANOVSKY	FID	TSLA	B	3	3.10	n/a	n/a	0.00	0.0
PIMCO	084	UAL	S	100,000	32.77	n/a	26-Apr	4,000.00	0.0
LOMAS CAPITAL	040	ULTA	B	7,700	90.33	n/a	n/a	231.00	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	50,000	43.44	n/a	n/a	1,500.00	0.0
NEUBERGER BERMAN	036	VPFG	B	16,244	19.45	n/a	n/a	649.76	0.0
B BUCK CAPITAL MGMT		WNC	S	123,036	9.84	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WNC	S	50,000	9.87	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	WTSL	B	2500	3.71	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	WY	B	20,000	31.58	n/a	8-May	6.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	25,000	75.62	n/a	n/a	750.00	0.0
TOTAL (Trade Date):							79,083.88		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/08	LOCUST WOOD CAPITAL MGMT	044		B	286,500	5.20	n/a	n/a	11460.00 0.0
AO,CRT	05/08	LOCUST WOOD CAPITAL MGMT	044	NCTWI	B	286,500	0.00	n/a	n/a	5730.00 2.0
AO,CXL	05/08	NOMURA CAPITAL	029	NTK	S	5,000	71.76	n/a	n/a	200.00 0.0
AO,CRT	05/08	NOMURA CAPITAL	029	NTK	S	5,000	71.76	n/a	n/a	150.00 0.0
TOTAL (AO, CXL, CRT) :										-5,780.00

TOTAL (Trade Date) :	79,083.88
TOTAL (AO, CXL, CRT) :	-5,780.00

TOTAL (RUN DATE) / NFS :	73,303.88
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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 9-May.

FOR, IR

MRI Securities without Trade Activity on 9-May.

HSC, DAL, DFS

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)