



Daily Compliance Activity Report

Trade Date: 04/02/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	ABFS	B	10000	11.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	30,000	18.87	n/a	2-Dec	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	ALL	B	16,700	49.70	n/a	n/a	668.00	0.0
HIGHBRIDGE CAP	041	ALV	B	7,253	68.95	n/a	19-Mar	217.59	3.0
B BUCK CAPITAL MGMT		ANN	C	33,800	28.86	n/a	n/a	non-brg	4.0
GEORGE WEISS	278	AXL	B	12,500	13.41	n/a	1-Apr	500.00	0.0
ROSEDALE CAPITAL	046	AXL	B	40,000	13.22	n/a	1-Apr	1,600.00	0.0
ROYCE TRADING	031	AYI	S	35,000	68.48	n/a	n/a	1,750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AYI			28,802	68.47	n/a	n/a	864.06 0.0
OSKIE CAPITAL MGMT	224	BBRY	B	30,000	15.29	n/a	n/a	1,500.00	5.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		BCC		B	16,000	30.29	n/a	n/a	480.00 3.0
f LEE F BACKUS	FID	BDBD	B	2000	8.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CAR	S	50,000	29.27	n/a	n/a	non-brg	4.0
f LEE F BACKUS	FID	CGI	S	1000	18.84	n/a	n/a	0.00	0.0
FINDLAY PARK PART	085	CHD	S	109,500	64.89	n/a	1-Apr	10,658.68	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	CHD	B	88,926	64.90	n/a	1-Apr	2,667.78	0.0
NOKOMIS PARTNERS	031	COH	SS	55,000	50.53	n/a	27-Feb	1,650.00	0.0
⚡ BUCK CAPITAL MGMT		CROX	S	150,000	14.73	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	C	B	4,350	44.04	n/a	2-Apr	217.50	0.0
CAPITAL GROWTH MGMT.	241	DAL	S	250,000	15.34	2-Apr	2-Apr	10,000.00	4.0
STELLIAM INV ADV	086	DAL	B	52,500	15.04	2-Apr	2-Apr	2,100.00	0.0
J. GOLDMAN	028	DHR	S	29,000	61.92	n/a	n/a	1,160.00	4.0
⚡ BUCK CAPITAL MGMT		DKS	S	30,000	47.06	n/a	2-Apr	non-brg	4.0
f SNEJANA P GARFUNKEL	FID	DLA	S	1000	15.77	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	DMND	S	1897	16.48	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		EXPR	S	40,000	17.57	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		FL	S	50,000	33.81	n/a	2-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FNP	B	150,000	18.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	11,000	94.48	n/a	n/a	non-brg	4.0
BRIGADE CAPITAL MGMT	029	FST	B	100,000	4.91	n/a	n/a	3,000.00	0.0
DENVER INST. ADV	046	FULT	S	100,000	11.51	n/a	n/a	4,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	GDX	SS	28,000	36.77	n/a	n/a	560.00	2.0
M&I FUNDS	047	GES	B	33,846	24.99	n/a	21-Mar	1,353.84	0.0
VERITION	028	GE	S	25,000	23.23	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		GIII 4 C40	SS	1,000	1.25	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GIII	S	40,326	39.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	100,572	40.18	n/a	14-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	50,000	40.08	n/a	14-Mar	non-brg	4.0
LOCUST WOOD CAPITAL MGMT	044	GM	S	60,000	27.69	n/a	2-Apr	2,400.00	4.0
SCOPUS FUND	041	GM	S	92,025	27.81	n/a	2-Apr	3,681.00	0.0
ß BUCK CAPITAL MGMT		GRMN	C	77,400	33.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAS	C	25,500	43.39	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	57,658	46.10	n/a	1-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	60,000	46.47	n/a	1-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HTZ	B	50,000	23.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	60,000	23.78	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	HTZ	B	5000	23.57	n/a	n/a	0.00	0.0
ESSENCIAL CAPITAL	031	IAG	S	5,000	6.86	n/a	n/a	100.00	2.0
ß BUCK CAPITAL MGMT		IP	S	63,000	47.76	n/a	18-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	IP	S	25,000	46.85	n/a	18-Mar	1,000.00	0.0
HIGHBRIDGE CAP	041	ITB	B	28,000	23.76	n/a	n/a	560.00	2.0
IMPALA ASSET MMT	040	KMB	SS	40,000	99.70	n/a	28-Mar	2,000.00	5.0
f MANNY I KORMAN	FID	KMT	S	9000	38.09	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	25,000	45.15	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MAT	C	42,900	43.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MCD 4 P100	B	500	1.12	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		MCD	C	33,150	99.94	n/a	1-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		MCD	C	35,000	100.19	n/a	1-Apr	non-brg	3.0
SIGMA CAPITAL ASSOCIATES	041	MCD	B	15,000	100.25	n/a	1-Apr	450.00	3.0
ESSENCIAL CAPITAL	031	MDR	S	5,000	10.56	n/a	n/a	100.00	2.0
M&I FUNDS	047	MGM	B	19,391	12.56	n/a	13-Jun	775.64	0.0
GABELLI FUNDS	025	MKC	S	15,000	72.67	n/a	n/a	750.00	0.0
LOMAS CAPITAL	040	MTB	S	14,000	102.29	n/a	n/a	393.00	1.5
f ABRAM M CHAPPELL	FID	MTG	S	1000	4.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MWV	B	100,000	36.55	n/a	26-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		MWV	B	100	36.36	n/a	26-Mar	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	NP	B	13,300	29.86	n/a	22-Feb	465.50	0.0
f EDWARD W WHEELER	FID	NRG	S	4864	26.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	C	10,000	45.03	n/a	26-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	C	20,000	44.74	n/a	26-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	C	20,000	44.90	n/a	26-Mar	non-brg	4.0
IMPALA ASSET MMT	040	POT	S	205,081	39.29	n/a	n/a	8,203.24	4.0
B BUCK CAPITAL MGMT		PVH	S	10,000	105.65	n/a	1-Apr	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	7,500	106.76	n/a	1-Apr	225.00	3.0
f EDWARD W WHEELER	FID	R	B	10	8.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	50,000	19.10	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	SHW	S	7,138	167.87	n/a	n/a	214.14	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	7,764	7.05		n/a	n/a	232.92 3.0
CAPITAL RESEARCH GROUP	296	SWN	B	215,000	36.80		n/a	1-Apr	7,525.00 0.0
B BUCK CAPITAL MGMT		SWY	C	70,000	25.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TGT	C	15,300	68.80	n/a	13-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		TGT	C	78,300	68.72	n/a	13-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		TIF	C	20,000	71.58	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		TIF	C	50,000	71.66	n/a	n/a	non-brg 4.0
	T. ROWE PRICE	243	TTC	B	66,700	45.62	n/a	n/a	2,668.00 0.0
	HIGHBRIDGE CAP	041	UAL	SS	34,000	29.59	n/a	1-Apr	1,020.00 3.0
B	BUCK CAPITAL MGMT		VMC	B	20,000	49.79	n/a	n/a	non-brg 4.0
f	EDWARD W WHEELER	FID	WAG	S	2000	47.64	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		WMT	C	30,000	75.60	n/a	22-Feb	non-brg 4.0
	IMPALA ASSET MMT	040	XLU	SS	100,000	39.10	n/a	n/a	4,000.00 4.0
TOTAL (Trade Date):									83,210.89

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/01	BAIRD INVESTMENT	097	CTRX	B	2,752	53.28	n/a	n/a	137.60 5.0
AO,CRT	04/01	S.A.C. CAPITAL	044	EXPE	B	350,000	60.63	n/a	n/a	10500.00 3.0
AO,CXL	04/01	S.A.C. CAPITAL	044	EXPE	B	350,000	60.63	n/a	n/a	17500.00 5.0
AO,CRT	04/01	CORVEX CAPITAL	041	LEA	S	30,000	55.78	n/a	1-Apr	900.00 0.0
AO,CXL	04/01	CORVEX CAPITAL	041	LEA	S	30,000	55.78	n/a	1-Apr	900.00 0.0
AO,CRT	03/28	CLEARLINE CAPITAL LLC	040	SCSS	S	20,000	19.91	n/a	n/a	800.00 0.0
AO,CXL	03/28	CLEARLINE CAPITAL LLC	040	SCSS	S	20,000	19.91	n/a	n/a	600.00 3.0
TOTAL (AO, CXL, CRT) :										-6,662.40

TOTAL (Trade Date):	83,210.89
TOTAL (AO, CXL, CRT):	-6,662.40

TOTAL (RUN DATE) / NFS:	76,548.49
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	04/01	BUCK CAPITAL MGMT.	PLCE	C	20,000	0.00	n/a 26-Mar	800.00
CRT	04/01	BUCK CAPITAL MGMT	PLCE	C	20,000	44.94	n/a 26-Mar	800.00 4.0

MRI Securities with Trade Activity on 2-Apr.

DAL

MRI Securities without Trade Activity on 2-Apr.

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)