



Daily Compliance Activity Report

Trade Date: 04/09/2013

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		1913 HK	B	230,000	9.75	n/a	n/a	non-brg	0.0
f JONATHAN RICHARD HAR	FID	ACW	B	1080	4.64	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ALV	B	10,000	67.46	n/a	19-Mar	400.00	0.0
f MARK ANTHONY GRONET	FID	ARR	B	10000	6.49	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,800	12.79	n/a	3-Apr	432.00	4.0
COLUMBUS CIRCLE	036	AYI	B	1,800	73.45	n/a	n/a	72.00	0.0
B BUCK CAPITAL MGMT		BBY	B	100,000	25.66	n/a	n/a	non-brg	4.0
MELLON/BANK OF NEW YORK	046	BEAM	B	28,050	61.19	n/a	n/a	1,122.00	0.0
B BUCK CAPITAL MGMT		BIG	SS	50,000	35.32	n/a	n/a	non-brg	4.0
f SERGEI BARANOVSKY	FID	COCO	B	40	0.05	n/a	n/a	0.00	0.0
GEORGE WEISS	278	COH	S	10,000	49.80	n/a	27-Feb	400.00	0.0
BTG PACTUAL	040	DAL	S	27,300	15.08	n/a	8-Apr	819.00	3.0
SENATOR INVESTMENT GROUP	036	DD	SS	65,000	48.94	n/a	n/a	1,950.00	3.0
ASCEND PARTNERS	033	FCX	S	100,000	33.86	n/a	n/a	3,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	FDO	B	13,788	59.72	n/a	8-Apr	551.52	4.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	30,225	19.06	n/a	9-Apr	906.75	0.0
B BUCK CAPITAL MGMT		FNP	S	25,000	20.56	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FNP	S	75,000	20.66	n/a	n/a	non-brg	4.0
KOLVEN CAPITAL	025	GM	S	1,000	27.56	n/a	8-Apr	30.00	3.0
MERRILL ASSET/BLACKROCK	297	HBHC	S	15,024	29.29	n/a	n/a	600.96	0.0
f MARK ANTHONY GRONET	FID	HBI	S	100	47.94	n/a	5-Apr	0.00	0.0
f MANNY I KORMAN	FID	HTZ	B	3000	23.33	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	IP	S	16,345	47.35	n/a	5-Apr	817.25	0.0
ASCEND PARTNERS	033	IR	S	144,291	55.23	n/a	27-Mar	4,328.73	0.0
ASCEND PARTNERS	033	JCI	B	700	33.34	n/a	27-Mar	21.00	0.0
f MANNY I KORMAN	FID	JPMRWCL	S	3000	25.44	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	LCC	S	1345	16.00	n/a	8-Apr	0.00	0.0
DC CAPITAL	044	LPX	S	10,000	20.50	n/a	5-Apr	400.00	4.0
LAKWOOD CAPITAL MGMT	085	MSFT	S	100,000	29.12	n/a	n/a	3,000.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	MSFT	S	60,000	29.72	n/a	n/a	1,920.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	MYL	B	25,000	28.58	n/a	8-Apr	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	M	S	18,500	43.82	n/a	8-Apr	740.00	0.0
B BUCK CAPITAL MGMT		NCLH	B	32,900	30.11	n/a	n/a	non-brg	2.5
f SERGEI BARANOVSKY	FID	NFLX	B	2	1.40	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	NOK	S	5000	3.33	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	PBI	B	16,078	14.92	n/a	n/a	643.12	0.0
GEORGE WEISS	278	PETM	B	20,000	64.81	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		PII 5 C92.5	SS	1,000	1.30	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		PII 5 P82.5	B	1,000	1.95	n/a	n/a	non-brg	300.0
GEORGE WEISS	278	SBUX	B	14,500	57.40	n/a	8-Apr	435.00	0.0
BRIGADE CAPITAL MGMT	029	SFI	S	150,000	10.96	n/a	n/a	4,500.00	0.0
IRIDIAN ASSET MGMT.	036	TEN	S	80,664	36.69	n/a	n/a	4,033.20	0.0
ROYCE TRADING	031	TER	S	77,200	15.61	n/a	n/a	3,860.00	0.0
B BUCK CAPITAL MGMT		TITN	B	20,000	25.94	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	261	TJX	C	50,000	47.95	n/a	8-Apr	2,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	VIAB	B	590	65.33	n/a	n/a	23.60	4.0
ASCEND PARTNERS	033	VLO	S	100,000	42.59	n/a	n/a	3,000.00	0.0
B BUCK CAPITAL MGMT		WERN	S	25,000	23.40	n/a	n/a	non-brg	4.0
PERRY PARTNERS	085	XLE	SS	38,000	78.71	n/a	n/a	1,900.00	5.0
PERRY PARTNERS	085	XOP	SS	50,000	60.03	n/a	n/a	2,500.00	5.0
GEORGE WEISS	278	YUM	B	7,000	67.22	n/a	8-Apr	280.00	0.0
TOTAL (Trade Date) :								46,536.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/05	TIEDEMANN/TIG ADVISORS LLC	006	MTZ	B	11,070	27.77	n/a	n/a	332.10 3.0
AO,	04/05	TIEDEMANN/TIG ADVISORS LLC	006	MTZ	B	11,070	27.77	n/a	n/a	332.10 0.0
AO,CRT	04/05	AELTUS/ING IVESTMENT MGT	215	RDN	B	448,200	10.06	n/a	n/a	13446.00 3.0
AO,CXL	04/05	AELTUS/ING IVESTMENT MGT	215	RDN	B	448,200	10.06	n/a	n/a	13446.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	46,536.13
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	46,536.13
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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-Apr.
NONE

MRI Securities without Trade Activity on 9-Apr.
JCP

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)