



Daily Compliance Activity Report

Trade Date: 01/31/2013

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		AEO	B	30,000	20.13	n/a	2-Dec	non-brg	4.0
COUGAR TRADING	044	ALV	B	5,000	66.33	n/a	31-Jan	250.00	5.0
COUGAR TRADING	044	ALV	SS	5,000	65.99	n/a	31-Jan	250.00	5.0
ESENCIAL CAPITAL	031	ALV	B	4,000	65.74	n/a	31-Jan	80.00	2.0
MILLRACE FUND LP	028	ALV	B	9,000	65.92	n/a	31-Jan	360.00	0.0
OZ MGMT	040	ALV	C	86,079	65.96	n/a	31-Jan	2,582.37	0.0
LISTED ERR	099	ALV	B	1,600	66.26	n/a	31-Jan	0.00	0.0
LISTED ERR	099	ALV	S	1,600	65.62	n/a	31-Jan	0.00	0.0
HOLLIS CAPITAL	033	APC	B	3,000	79.66	n/a	31-Jan	150.00	5.0
TUDOR INVESTORS	028	ASH	S	5,000	79.45	n/a	18-Jan	150.00	3.0
TUDOR INVESTORS	028	AXLL	SS	5,000	53.37	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		BA	B	13,500	74.18	n/a	30-Jan	non-brg	4.0
DELTEC ASSET MGMT.	040	BA	B	5,000	74.09	n/a	30-Jan	250.00	5.0
B BUCK CAPITAL MGMT		BKW	C	115,800	17.77	n/a	14-Jan	non-brg	4.0
CATAPULT CAP/DEFRANCO	040	BLL	SS	40,371	44.75	n/a	n/a	1,614.84	0.0
B BUCK CAPITAL MGMT		BODY	S	42,900	7.92	n/a	n/a	non-brg	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	5,000	51.25	n/a	n/a	200.00	4.0
f MANNY I KORMAN	FID	CBT	S	9000	39.14	n/a	18-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	CCK	SS	10,000	38.58	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	CHRW	B	3,000	66.78	n/a	n/a	90.00	3.0
OZ MGMT	040	CIEN	S	100,556	15.49	n/a	n/a	3,016.68	0.0
CAMBIAR CAP	046	COF	B	300,000	56.39	n/a	25-Jan	12,000.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	CPWR	B	20,000	11.59		n/a n/a	600.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	7,900	37.61	n/a	28-Jan	395.00	5.0
SCOUT/UMB	047	DG	S	54,423	46.35	n/a	12-Dec	1,632.69	0.0
MAIRS AND POWER INV	030	DIS	B	10,000	53.96	n/a	n/a	500.00	5.0
KINGDON ASSET MGMT	041	DNKN	B	15,000	36.45	n/a	n/a	600.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	DVN	B	10,000	57.30		n/a 31-Jan	400.00	4.0
f GAVIN N CADWALLADER	FID	DXD	S	50	42.36	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ENR	C	30,000	86.19	n/a	31-Jan	non-brg	4.0
GEORGE WEISS	278	EXPE	C	40,000	64.99	n/a	n/a	1,200.00	0.0
f DAVID GEORGE BUCK	FID	FB	B	1000	31.29	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FB	B	250	31.32	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FB	S	10	0.40	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JASON ERIC COHEN	FID	FB	B	100	29.39	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	FB	B	250	31.33	n/a	n/a	0.00	0.0
	BRIGADE CAPITAL MGMT	029	FCH	B	23,000	5.32	n/a	n/a	690.00	0.0
	SCOUT/UMB	047	FDO	S	33,901	57.09	n/a	4-Jan	1,017.03	0.0
B	BUCK CAPITAL MGMT		FOSL 2 C110	SS	500	3.30	n/a	n/a	non-brg	300.0
	NOMURA/ANGEL LANE PRINCIPAL	040	F	B	100,000	12.90	n/a	31-Jan	3,000.00	3.0
	OZ MGMT	040	F	B	416,297	12.95	n/a	31-Jan	12,488.91	0.0
	ROSEDALE CAPITAL	046	F	B	25,000	12.89	n/a	31-Jan	1,000.00	4.0
	SCHOTTENFELD ASSOC	041	F	B	50,000	12.86	n/a	31-Jan	1,500.00	0.0
	VISIUM/BALY BOBBY	044	F	B	10,000	12.86	n/a	31-Jan	500.00	0.0
B	BUCK CAPITAL MGMT		GIL	S	30,000	37.07	n/a	30-Nov	non-brg	4.0
	CASTLEROCK	040	GM	B	96,565	28.04	n/a	31-Jan	3,862.60	4.0
	TUDOR INVESTORS	028	GM	B	10,000	28.10	n/a	31-Jan	300.00	3.0
	EPOCH INV MGMT	030	HAYN	B	200	50.50	n/a	n/a	6.00	0.0
B	BUCK CAPITAL MGMT		HD	SS	113,700	67.09	n/a	n/a	non-brg	4.0
	CAPITAL WORLD	084	HD	S	275,000	67.38	n/a	n/a	9,625.00	0.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	HES	B	2,500	66.60	n/a	n/a	100.00	4.0
B	BUCK CAPITAL MGMT		HIBB	SS	11,100	52.65	n/a	n/a	non-brg	2.5
	SYMPHONY ASSET	033	HMSY	S	18,690	27.30	n/a	n/a	560.70	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	HSH	B	116,175	30.94	n/a	n/a	4,647.00	0.0
HOPLITE MGMT	025	HSH	S	25,000	30.95	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	45,000	5.76	n/a	29-Jan	non-brg	3.0
KINGDON ASSET MGMT	041	KRFT	SS	20,000	46.26	n/a	n/a	800.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	8,800	34.76	n/a	23-Jan	440.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	B	21,000	48.58		n/a 28-Jan	840.00	4.0
GEORGE WEISS	278	LEG	B	42,000	29.78	n/a	n/a	1,680.00	0.0
B BUCK CAPITAL MGMT		LTD	C	30,000	48.36	n/a	n/a	non-brg	4.0
CASTLE ARK	031	MA	B	20,110	520.42	n/a	31-Jan	1,005.50	0.0
B BUCK CAPITAL MGMT		MDC	SS	5,000	41.04	n/a	n/a	non-brg	1.0
DALTON GREINER	070	MLI	B	7,500	53.37	31-Jan	31-Jan	375.00	0.0
ROTHSCHILD ASSET	040	MOGA	B	3,201	43.90	n/a	n/a	128.04	0.0
f JASON ERIC COHEN	FID	MTG	B	2000	2.68	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MTOR	B	10000	4.47	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	20,000	31.34	n/a	30-Jan	1,000.00	5.0
FIRST NEW YORK	086	NOK	S	20,000	3.89	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEDBUSH/PACIFIC GROWTH EQTY LLC084	NYCB		B	25,000	13.16		n/a 30-Jan	1,000.00	4.0
TUDOR INVESTORS	028	ODFL	SS	5,000	36.93	n/a	n/a	150.00	3.0
CATAPULT CAP/DEFRANCO	040	OI	B	64,373	23.97	n/a	n/a	2,574.92	0.0
f RAVI SADARANGANI	FID	PCAR	S	500	47.95	n/a	n/a	0.00	0.0
KAM ADVISORS LLC	041	PCP	S	24,600	183.50	n/a	24-Jan	738.00	0.0
TUDOR INVESTORS	028	PH	SS	5,000	93.53	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		PII	B	20,000	86.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	SS	20,000	157.72	n/a	31-Jan	non-brg	4.0
TUDOR INVESTORS	028	PPG	B	5,000	139.61	n/a	18-Jan	150.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	P	B	500	11.53	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251	RIG		B	1,000	56.69		n/a n/a	40.00	4.0
SUFFOLK CAPITAL MGMT	040	RL	S	14,900	165.50	n/a	5-Nov	596.00	0.0
B BUCK CAPITAL MGMT		R	S	20,000	55.91	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SCSS	B	100,000	22.04	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	SCSS	SS	15,000	22.01	n/a	n/a	525.00	3.5
B BUCK CAPITAL MGMT		SSI	B	15,000	22.83	n/a	17-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING (GGT)251	SUSS		S	4,897	41.64		n/a	n/a	195.88	4.0
KAM ADVISORS LLC	041	TDG	S	32,700	136.33	n/a	n/a		981.00	0.0
1798 CAP/LOMBARD ASSET	040	TGI	B	5,000	69.24	n/a	n/a		250.00	0.0
B	BUCK CAPITAL MGMT	TIF	SS	20,000	65.68	n/a	n/a		non-brg	4.0
f	MARK DEVEREAUX KAICH	FID	TIVO	S	50	0.75	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT	TPH	B	3,500	17.00	n/a	n/a		non-brg	0.0
B	BUCK CAPITAL MGMT	TPH	S	3,500	19.46	n/a	n/a		non-brg	2.5
B	BUCK CAPITAL MGMT	TSCO	S	20,000	102.32	n/a	n/a		non-brg	4.0
DELTEC ASSET MGMT.	040	TWC	B	5,000	90.99	n/a	n/a		250.00	5.0
MACELLUM CAPITAL	086	UA	SS	42,000	50.86	n/a	31-Jan		1,260.00	0.0
ROYCE TRADING	031	UNT	B	5,700	47.69	n/a	31-Jan		285.00	0.0
1798 CAP/LOMBARD ASSET	040	URI	B	8,000	50.19	n/a	17-Apr		400.00	0.0
CSFB GLOBAL PROPRIETARY	041	XLB	SS	50,000	39.17	n/a	n/a		2,500.00	0.0
B	BUCK CAPITAL MGMT	XLY	C	149,400	50.14	n/a	n/a		non-brg	2.0
GUGGENHEIM GLOBAL TRADING (GGT)251	YHOO		B	10,000	19.60		n/a	n/a	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	YUM		B	150,000	65.07	n/a	28-Jan		4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ZUMZ	B	23,500	20.99	n/a	n/a	705.00	3.0
TOTAL (Trade Date):								91,688.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									91,688.16
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									91,688.16

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 31-Jan.

MLI

MRI Securities without Trade Activity on 31-Jan.

CMG, CLB

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)