



Daily Compliance Activity Report

Trade Date: 01/28/2013

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		AAPL	B	10,000	450.28	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	AAPL	B	40	448.40	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AAPL	S	45	445.75	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ABG	B	25,000	34.43	n/a	10-Jan	1,000.00	4.0
f DAVID GEORGE BUCK	FID	AIG	B	1500	37.24	n/a	n/a	0.00	0.0
ESENCIAL CAPITAL	031	ALV	SS	4,000	66.84	n/a	28-Jan	80.00	0.0
MILLRACE FUND LP	028	ALV	SS	4,000	66.70	n/a	28-Jan	160.00	4.0
WOOSTER CAPITAL	044	ALV	SS	10,000	67.08	n/a	28-Jan	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	25,000	49.93	n/a	n/a	875.00	3.5
DEVENNY CAP LLC/MILLENIU	044	ATI	B	10,000	29.85	28-Jan	28-Jan	300.00	0.0
MERRILL ASSET/BLACKROCK	297	BANR	S	4,900	30.05	n/a	n/a	196.00	0.0
NEUBERGER BERMAN	036	BA	B	10,000	74.29	n/a	24-Jan	400.00	0.0
B BUCK CAPITAL MGMT		BBY	C	100,000	16.06	n/a	n/a	non-brg	4.0
TROUBH PART	070	BHP	SS	10,000	77.38	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		BODY	S	50,000	8.16	n/a	n/a	non-brg	2.5
BALYASNY ASSET MGMT	044	BONT	B	15,197	12.99	n/a	24-Jan	759.85	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	CCK	B	1,400	38.27	n/a	n/a	49.00	3.5
FRONTIER	029	CCK	S	85,030	38.23	n/a	n/a	3,401.20	0.0
f EDWARD W WHEELER	FID	CLF	B	1000	35.17	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	CLGX	S	6,419	26.21	n/a	n/a	256.76	0.0
LATEEF MGMT	033	CMCSK	S	325	38.24	n/a	n/a	35.75	11.0
BASSWOOD PARTNERS	267	COF	B	19,800	56.06	n/a	25-Jan	792.00	0.0
B BUCK CAPITAL MGMT		COH	SS	70,000	51.47	n/a	24-Jan	non-brg	4.0
COLUMBUS CIRCLE	036	CSGP	B	684	95.32	n/a	n/a	27.36	0.0
HEIGHTS CAPITAL	251	CSX	B	213,297	22.29	n/a	n/a	8,531.88	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	33.34	n/a	n/a	400.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		CZR	B		13,812	7.98	n/a	n/a	414.36 3.0
f KAREN F LEDDY	FID	DAL	B	800	14.05	n/a	28-Jan	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	50,000	41.40	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	DE	S	325	93.88	n/a	11-Jul	87.50	27.5
CATAPULT/KGLT	040	EGN	B	25,000	47.45	n/a	n/a	1,000.00	0.0
f GAVIN N CADWALLADER	FID	EMC	B	100	25.18	n/a	23-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	EMN	S	1,850	71.39	n/a	n/a	55.50	3.0
B BUCK CAPITAL MGMT		ENR	SS	20,000	86.49	n/a	13-Dec	non-brg	4.0
SCOUT/UMB	047	FDO	S	17,942	58.01	n/a	4-Jan	538.26	0.0
LATEEF MGMT	033	FMER	B	250	14.98	n/a	n/a	27.50	11.0
B BUCK CAPITAL MGMT		FRAN	B	50,000	28.74	n/a	n/a	non-brg	4.0
PERIMETER	273	FTNT	B	2,402	20.95	n/a	n/a	72.06	0.0
CASTLEROCK	040	F	SS	78,631	13.72	28-Jan	28-Jan	3,145.24	4.0
DEVENNY CAP LLC/MILLENIU	044	F	SS	10,000	13.77	28-Jan	28-Jan	300.00	0.0
FIRST NY SEC/CHRIS	041	F	B	18,000	13.75	28-Jan	28-Jan	900.00	5.0
TRELLUS PARTNERS LP	028	F	SS	20,000	13.77	28-Jan	28-Jan	600.00	0.0
WOOSTER CAPITAL	044	F	SS	100,000	13.74	28-Jan	28-Jan	4,000.00	4.0
f BRIAN P CLIFFORD	FID	HLF	S	500	43.00	n/a	n/a	0.00	0.0
HEIGHTS CAPITAL	251	HON	S	28,077	68.89	n/a	25-Jan	1,123.08	0.0
f IAN L MILLER	FID	HYG	S	5	94.72	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	H	B	10,000	40.50	n/a	13-Jun	400.00	0.0
f IAN L MILLER	FID	ILTB	S	7	61.89	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	41.94	n/a	17-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	IP	S	20,000	41.98	n/a	17-Jan	600.00	3.0
HIGHBRIDGE CAP	041	ITB	SS	11,000	23.32	n/a	n/a	220.00	2.0
HEIGHTS CAPITAL	251	JBHT	SS	96,340	67.73	n/a	n/a	3,853.60	0.0
TROUBH PART	070	JCP	S	5,000	18.88	n/a	14-Jan	250.00	5.0
⌘ BUCK CAPITAL MGMT		JOY	B	15,000	63.30	n/a	11-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KMT	B	12,000	40.97	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	KMT	S	12,500	41.11	n/a	n/a	375.00	3.0
⌘ BUCK CAPITAL MGMT		KORS	S	147,670	58.28	n/a	24-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	2,330	59.00	n/a	24-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	20,000	59.04	n/a	24-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	25,000	57.97	n/a	24-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	25,000	58.18	n/a	24-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LEG	SS	50,000	29.17	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	LOW	SS	25,000	38.38	n/a	n/a	1,250.00	0.0
HIGHBRIDGE CAP	041	LYB	S	4,250	60.97	n/a	n/a	127.50	3.0
CAPITAL RESEARCH GROUP		296 MAT	S	258,402	36.98		n/a	n/a	9,044.07 0.0
f EDWARD W WHEELER	FID	MET	B	150	2.98	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	MFLX	B	1000	15.83	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	MINI	B	20	0.42	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	MLHR	S	10,000	24.07	n/a	n/a	400.00	4.0
LATEEF MGMT	033	MSFT	B	150	27.99	n/a	n/a	30.00	20.0
NEUBERGER BERMAN	036	NFG	B	10,000	54.06	n/a	n/a	400.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	31.04	n/a	25-Jan	400.00	4.0
LATEEF MGMT	033	NYCB	S	450	13.17	n/a	24-Oct	45.00	10.0
HIGHBRIDGE CAP	041	OIH	B	23,500	43.44	n/a	n/a	470.00	2.0
TRUSTCO/SUNTRUST (CEREDEX)	273	O	S	30,000	44.06	n/a	n/a	960.00	0.0
SCOPUS FUND	041	PAG	B	15,000	32.54	n/a	5-Nov	600.00	4.0
B BUCK CAPITAL MGMT		PCLN	SS	2,000	706.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PETM	C	20,000	63.79	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	PFE	B	15,000	26.98	n/a	n/a	600.00	0.0
LATEEF MGMT	033	PG	S	150	73.95	n/a	28-Jan	37.50	25.0
B BUCK CAPITAL MGMT		PII	S	30,000	91.51	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	PNRA	B	5,000	161.30	n/a	28-Jan	250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC/MILLENIU	044	PPG	B	1,000	138.25	n/a	18-Jan	30.00	0.0
B BUCK CAPITAL MGMT		RLGY	S	50,000	43.70	n/a	n/a	non-brg	4.0
HEIGHTS CAPITAL	251	RTN	B	41,113	55.48	n/a	15-Jan	1,644.52	0.0
OHIO PERS	047	RVBD	S	70,000	20.42	n/a	n/a	2,100.00	0.0
B BUCK CAPITAL MGMT		SAND SS	C	100,000	16.61	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SAND SS	C	50,000	16.61	n/a	n/a	non-brg	2.5
HIGHBRIDGE CAP	041	SDRL	S	6,500	39.08	n/a	n/a	195.00	3.0
f BARBARA S LEDDY	FID	SGI	B	600	12.92	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	B	1300	12.88	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	STSI	S	1000	2.28	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SWFT	S	300	1.15	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	SWHC	B	120,000	8.90	n/a	n/a	2,400.00	2.0
LATEEF MGMT	033	T	B	200	34.19	n/a	n/a	30.00	15.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	50,000	43.05	n/a	n/a	1,750.00	0.0
SURVEYOR CAPITAL	251	URBN	B	35,000	43.04	n/a	n/a	1,050.00	0.0
HIGHBRIDGE CAP	041	URI	S	2,500	51.37	n/a	17-Apr	75.00	3.0
ARSENAL ASSET MANAGEMENT	028	WHR	SS	5,000	109.21	n/a	n/a	200.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	WLK	S	1,500	87.93	n/a	n/a	45.00	3.0
B BUCK CAPITAL MGMT		WNC	S	20,000	10.75	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	WNC	B	800	10.78	n/a	n/a	0.00	0.0
GLOBAL 56 LLC	060	WU	B	5,000	14.01	n/a	n/a	250.00	5.0
HIGHBRIDGE CAP	041	XLB	SS	19,500	39.37	n/a	n/a	390.00	2.0
HIGHBRIDGE CAP	041	XLU	B	21,000	36.24	n/a	n/a	420.00	2.0
B BUCK CAPITAL MGMT		XLY	C	150,000	50.69	n/a	n/a	non-brg	2.0
HIGHBRIDGE CAP	041	XOM	B	2,750	90.95	n/a	n/a	82.50	3.0
f RAVI SADARANGANI	FID	XPO	S	250	16.65	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	YUM	C	15,000	63.31	28-Jan	28-Jan	750.00	0.0
B BUCK CAPITAL MGMT		YUM	SS	40,000	63.88	28-Jan	28-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		ZUMZ	B	50,000	22.53	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	22.49	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :								63,402.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/25	SCOPUS FUND	041	KMX	S	50,000	39.45	n/a	n/a	2000.00	0.0
AO,CXL	01/25	SCOPUS FUND	041	KMX	S	50,000	39.45	n/a	n/a	0.00	0.0
AO,CXL	01/25	PAR CAPITAL	268	PBF	B	35,000	29.90	n/a	n/a	1400.00	0.0
AO,CRT	01/25	PAR CAPITAL	268	PBF	B	35,000	29.90	n/a	n/a	1400.00	0.0
TOTAL (AO, CXL, CRT) :										2,000.00	

TOTAL (Trade Date) :	63,402.99
TOTAL (AO, CXL, CRT) :	2,000.00

TOTAL (RUN DATE) / NFS :	65,402.99
---------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 28-Jan.

ATI, F, YUM

MRI Securities without Trade Activity on 28-Jan.

PCH, KMB, BWA

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)