



Daily Compliance Activity Report

Trade Date: 04/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AAP	S	35,000	80.52	n/a	n/a	1,050.00	0.0
LATEEF MGMT	033	AA	B	1,600	8.03	n/a	n/a	135.00	9.0
MERRILL ASSET/BLACKROCK	297	AJG	B	27,700	42.07	n/a	n/a	1,108.00	0.0
f MARK MEGALLI	FID	AMWD	B	2000	32.01	n/a	n/a	0.00	0.0
LATEEF MGMT	033	BBT	S	125	30.39	n/a	n/a	25.00	20.0
f KEVIN MICHAEL O'GORM	FID	BKS	S	1000	17.36	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	BK	S	5000	28.18	n/a	5-Apr	0.00	0.0
f ANTHONY SUTERA	FID	BRCD	S	5200	5.70	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	BTU	S	365,000	19.49	n/a	n/a	18,250.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	2000	43.44	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	300	43.40	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CAH	S	400	43.42	n/a	n/a	0.00	0.0
SOROS	036	CA	B	166,666	24.76	n/a	n/a	6,666.64	0.0
LISTED ERR	099	CA	S	6,407	24.66	n/a	n/a	0.00	0.0
AELTUS/ING IVESTMENT MGT	215	CBS	S	38,990	46.16	n/a	n/a	1,169.70	0.0
LATEEF MGMT	033	CCK	S	100	40.06	n/a	n/a	30.00	30.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	CMI	S	2000	114.34	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CNA	B	10,000	32.77	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		COF	B	13,000	53.72	n/a	15-Apr	non-brg	1.0
f DAVID GEORGE BUCK	FID	COH	S	1000	51.57	n/a	27-Feb	0.00	0.0
B BUCK CAPITAL MGMT		CRMB	S	15,600	2.00	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	CROX	S	15000	15.66	n/a	n/a	0.00	0.0
BRONSON POINT	036	CTB	C	50,000	24.24	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	CVS	S	100	56.67	n/a	n/a	30.00	30.0
PAR CAPITAL	268	DAL	B	50,000	14.97	n/a	15-Apr	2,000.00	0.0
B BUCK CAPITAL MGMT		DG	B	20,000	50.00	n/a	26-Mar	non-brg	1.0
B BUCK CAPITAL MGMT		DG	B	30,000	50.46	n/a	26-Mar	non-brg	4.0
COHE & STEERS	041	DLR	B	101,798	70.70	n/a	n/a	4,071.92	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	B	10,000	10.86	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	DST	S	3000	69.91	n/a	n/a	0.00	0.0
LATEEF MGMT	033	DVN	S	250	53.20	n/a	8-Apr	45.00	18.0
f EDWARD W WHEELER	FID	DXPE	B	10	16.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	EMR	B	1,500	53.66	n/a	n/a	60.00	4.0
OMEGA ADVISORS	041	FCX	S	1,015,000	29.94	n/a	n/a	40,600.00	4.0
B BUCK CAPITAL MGMT		FDO	S	16,000	60.56	n/a	10-Apr	non-brg	1.0
NEUBERGER BERMAN	036	FELE	B	8,400	30.11	n/a	n/a	336.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,000	18.74	n/a	10-Apr	1,000.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	18,250	19.06	n/a	10-Apr	547.50	0.0
f MANNY I KORMAN	FID	FLR	S	15000	57.58	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	FL	B	10,000	34.15	n/a	10-Apr	300.00	3.0
MACELLUM CAPITAL	086	FL	B	61,000	33.85	n/a	10-Apr	1,830.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	18000	1.00	n/a	n/a	0.00	0.0
LATEEF MGMT	033	GIS	S	500	49.12	n/a	n/a	82.00	21.5
f JASON ERIC COHEN	FID	GLD	B	40	132.95	n/a	n/a	0.00	0.0
f KATHERINE L O'GORMAN	FID	GLD	S	200	132.07	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	GLD	S	100	134.39	n/a	n/a	0.00	0.0
SCOPUS FUND	041	GM	S	25,000	29.25	n/a	15-Apr	1,000.00	4.0
f MANNY I KORMAN	FID	HBI	S	5000	46.78	n/a	5-Apr	0.00	0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	100	22.34	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	HUN	SS	12,000	17.66	n/a	n/a	480.00	4.0
DELTEC ASSET MGMT.	040	IP	B	5,000	45.76	n/a	15-Apr	250.00	5.0
MOORE CAPITAL	257	IP	B	100,000	46.75	n/a	15-Apr	3,000.00	0.0
PRIMECAP MGMT	084	IP	S	4,000	45.31	n/a	15-Apr	160.00	0.0
f MARC PAUL LUCHANSKY	FID	JCI	S	100	33.07	n/a	27-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	75,000	14.51	15-Apr	15-Apr	3,750.00	0.0
B BUCK CAPITAL MGMT		JCP	B	100,000	14.98	15-Apr	15-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	B	200,000	15.01	15-Apr	15-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	B	50,000	14.95	15-Apr	15-Apr	non-brg	4.0
CASTLEROCK	040	JCP	B	28,077	14.51	15-Apr	15-Apr	1,123.08	4.0
EGS ASSOCIATES LP	091	JCP	B	5,000	14.71	15-Apr	15-Apr	250.00	5.0
SOROS	036	JCP	B	250,000	14.98	15-Apr	15-Apr	10,000.00	0.0
B BUCK CAPITAL MGMT		JOY	B	10,000	52.79	n/a	11-Jul	non-brg	1.0
f MANNY I KORMAN	FID	KMT	S	1000	37.03	n/a	n/a	0.00	0.0
LATEEF MGMT	033	KR	S	325	32.81	n/a	n/a	32.50	10.0
EPOCH INV MGMT	030	KS	B	30,000	26.54	n/a	n/a	900.00	0.0
BRONSON POINT	036	LEA	B	25,000	52.84	n/a	3-Apr	750.00	0.0
f MANNY I KORMAN	FID	LEA	S	4000	53.64	n/a	3-Apr	0.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	LNKD	B	5,220	179.32	n/a	n/a	208.80	4.0
CR INTRINIC INVESTMENT	044	LOW	B	10,000	38.11	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	18.12	n/a	12-Apr	2,000.00	0.0
DC CAPITAL	044	LPX	B	220,000	18.26	n/a	12-Apr	8,800.00	0.0
SMITH MGMT/ALDEN GLOBAL		029 LPX		S	500,000	18.39	n/a 12-Apr	15,000.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	60,000	21.56	n/a	5-Apr	3,000.00	5.0
f GAVIN N CADWALLADER	FID	MWV	B	100	34.74	n/a	26-Mar	0.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.19	n/a	n/a	900.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	PBY	SS	30,000	11.35	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		PCLN	C	3,000	714.53	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	20,000	51.74	n/a	12-Apr	1,000.00	5.0
LATEEF MGMT	033	PFE	S	125	30.65	n/a	n/a	25.00	20.0
LATEEF MGMT	033	PG	S	300	79.93	n/a	1-Apr	45.00	15.0
SCOPUS FUND	041	PPG	B	7,100	134.60	n/a	n/a	284.00	4.0
f MANNY I KORMAN	FID	SBUX	S	4000	58.30	n/a	15-Apr	0.00	0.0
B BUCK CAPITAL MGMT		SLM	S	34,000	20.92	n/a	12-Apr	non-brg	4.0
LATEEF MGMT	033	SPLS	S	450	13.24	n/a	n/a	60.00	13.5
B BUCK CAPITAL MGMT		SPN	B	21,100	23.73	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	SPY	S	500	157.58	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	SSI	SS	15,000	27.29	n/a	11-Apr	450.00	0.0
PARKWEST	084	SWHC	B	212,888	8.62	n/a	n/a	6,386.64	3.0
SOROS	036	S	B	800,000	7.11	n/a	n/a	16,000.00	0.0
JETSTREAM GLOBAL FUND LP	065	TEX	B	20,000	28.27	n/a	n/a	1,000.00	0.0
LATEEF MGMT	033	TGT	S	2,200	68.74	n/a	13-Mar	255.50	14.5
B BUCK CAPITAL MGMT		TITN	B	23,700	21.24	n/a	n/a	non-brg	2.5
CAISSE DEPOT PLACEMENT Q	257	TTWO	B	25,000	14.87	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		ULTA	S	23,600	86.58	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		ULTA	S	26,400	86.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URI	B	10,000	51.66	n/a	17-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		VMC	B	22,000	45.78	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	WFC	S	10000	37.05	n/a	15-Apr	0.00	0.0
B BUCK CAPITAL MGMT		WNC	B	56,400	8.91	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	WNC	B	74	0.50	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	30.65	n/a	12-Apr	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	YUM	S	11000	66.38	n/a	15-Apr	0.00	0.0
TOTAL (Trade Date):							162,447.28		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	12,500	16.52	n/a	n/a	250.00 2.0
AO,CXL	04/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	12,500	16.52	n/a	n/a	375.00 3.0
AO,CRT	04/12	S.A.C. CAPITAL	044	FDO	S	30,000	60.45	n/a	10-Apr	900.00 3.0
AO,CRT	04/11	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.00	n/a	n/a	600.00 2.0
AO,CXL	04/11	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.00	n/a	n/a	900.00 3.0
AO,CRT	04/10	CAISSE DEPOT PLACEMENT Q	257	SWI	B	9,900	53.99	n/a	n/a	297.00 3.0
AO,CXL	04/10	CAISSE DEPOT PLACEMENT Q	257	SWI	B	9,900	53.99	n/a	n/a	495.00 5.0
AO,CRT	04/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	S	7,500	26.98	n/a	n/a	150.00 2.0
AO,CXL	04/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	S	7,500	26.98	n/a	n/a	225.00 3.0
TOTAL (AO, CXL, CRT) :										202.00

TOTAL (Trade Date) :	162,447.28
TOTAL (AO, CXL, CRT) :	202.00

TOTAL (RUN DATE) / NFS :	162,649.28
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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 15-Apr.

JCP

MRI Securities without Trade Activity on 15-Apr.

KO, ENDP

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)