



Daily Compliance Activity Report

Trade Date: 02/04/2013

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		494 HK	C	1,100	1.38	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		AEO	B	40,000	19.87	n/a	2-Dec	non-brg	4.0
WOOSTER CAPITAL	044	ALV	B	10,000	64.94	n/a	1-Feb	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	31.14	n/a	n/a	1,750.00	3.5
f YANAI A FRANK	FID	AVGO	B	565	35.30	n/a	n/a	0.00	0.0
MILLENNIUM-NEW VERNON	031	AXL	B	87,000	11.91	n/a	4-Feb	4,350.00	5.0
IONIC CAPITAL MANAGEMENT	041	BHP	SS	4,400	78.10	n/a	n/a	132.00	3.0
DENVER INST. ADV	046	BWS	B	55,000	17.23	n/a	n/a	2,200.00	0.0
B BUCK CAPITAL MGMT		CAR	B	80,500	22.10	n/a	n/a	non-brg	0.8
DEVENNY CAP LLC/MILLENIUM	044	CLF	S	2,600	38.00	n/a	n/a	78.00	0.0
CASTLEROCK	040	CMG	SS	3,515	309.67	n/a	4-Feb	140.60	4.0
B BUCK CAPITAL MGMT		COLM	SS	30,000	48.78	n/a	n/a	non-brg	4.0
HALCYON LLC	041	DAN	B	3,539	16.04	n/a	15-Jan	106.17	3.0
HALCYON LLC	041	DLPH	B	3,539	38.95	n/a	n/a	106.17	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	ENDP	B	35,116	30.61	n/a	1-Feb	1,053.48	0.0
CHARTER OAK	033	ESRX	B	20,000	54.10	n/a	n/a	1,000.00	5.0
f KAREN F LEDDY	FID	FBC	B	2000	15.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FCNTX	S	375	80.35	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	FCNTX	S	312	80.35	n/a	n/a	0.00	0.0
DSG CAPITAL	030	FINL	B	4,200	18.29	n/a	30-Jan	126.00	3.0
HALCYON LLC	041	F	B	3,539	12.91	n/a	4-Feb	106.17	3.0
CAERUS GLOBAL	041	HAIN	S	1,400	57.40	n/a	n/a	56.00	4.0
CAPITAL WORLD	084	HD	S	18,196	67.12	n/a	n/a	636.86	0.0
f IAN L MILLER	FID	HLF	B	50	31.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HTZ	B	100,000	18.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HTZ	B	105,100	18.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ITX SM	B	10,000	137.68	n/a	n/a	non-brg	5.5
HALCYON LLC	041	JCI	B	3,539	30.85	n/a	22-Jan	106.17	3.0
CASTLEROCK	040	JNY	SS	45,748	11.75	4-Feb	4-Feb	1,829.92	4.0
B BUCK CAPITAL MGMT		KMT	B	12,400	40.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KSS	SS	30,000	45.24	n/a	1-Feb	non-brg	4.0
CASTLEROCK	040	KSS	SS	6,049	45.01	n/a	1-Feb	241.96	4.0
HALCYON LLC	041	LEA	B	3,539	49.42	n/a	4-Feb	106.17	3.0
WEXFORD CAPITAL	284	LEA	B	15,000	49.49	n/a	4-Feb	450.00	3.0
B BUCK CAPITAL MGMT		LEN	S	12,000	40.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LOW	SS	195,000	38.00	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	LTM	B	53,000	40.26	n/a	n/a	1,590.00	0.0
SENATOR INVESTMENT GROUP	036	MCK	B	95,400	102.50	n/a	n/a	2,862.00	3.0
EDGEWOOD	085	MJN	S	419,696	75.05	n/a	n/a	20,984.80	0.0
DALTON GREINER	070	MLI	B	6,400	53.27	n/a	31-Jan	320.00	0.0
CRAMER ROSENTHAL	070	NCLH	S	136,300	28.15	n/a	n/a	5,452.00	0.0
UBS OCONNOR	031	NCLH	S	50,000	28.40	n/a	n/a	1,500.00	0.0
f EDWARD W WHEELER	FID	NPO	S	5000	44.74	n/a	n/a	0.00	0.0
f KATHLEEN M CLARKE	FID	NWBI	B	200	12.13	n/a	n/a	0.00	0.0
CATAPULT/KGLT	040	OXY	B	25,000	88.06	n/a	n/a	1,000.00	0.0
f PATRICK O'GRADY	FID	PPMIQ	S	30000	0.06	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	PRGO	B	7,800	107.27	n/a	4-Feb	312.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PVH	B	40,000	116.25	4-Feb	4-Feb	non-brg	4.0
IONIC CAPITAL MANAGEMENT	041	RIO	SS	6,100	56.74	n/a	n/a	183.00	3.0
B BUCK CAPITAL MGMT		RL	C	37,500	163.22	4-Feb	4-Feb	non-brg	4.0
f EDWARD W WHEELER	FID	R	B	50	19.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	150,000	22.77	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SGI	B	1000	14.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SSI	B	20,000	22.80	n/a	1-Feb	non-brg	1.0
T. ROWE PRICE	243	SSI	B	50,000	22.79	n/a	1-Feb	2,000.00	0.0
B BUCK CAPITAL MGMT		SWFT	S	75,000	13.38	n/a	n/a	non-brg	4.0
f YANAI A FRANK	FID	SWKS	B	640	23.41	n/a	n/a	0.00	0.0
HALCYON LLC	041	TEN	B	3,539	35.99	n/a	n/a	106.17	3.0
LEVIN CAPITAL STRATEGIES	041	TIF	B	5,050	62.33	n/a	n/a	151.50	0.0
HALCYON LLC	041	TRW	B	3,539	57.68	n/a	n/a	106.17	3.0
CAPITAL GROWTH MGMT.	241	UAL	S	100,000	24.10	n/a	4-Feb	5,000.00	5.0
BRONSON POINT	036	UA	C	50,000	50.12	n/a	31-Jan	1,500.00	0.0
HALCYON LLC	041	VC	S	44,883	55.78	n/a	n/a	1,346.49	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	VFC	SS	3,690	147.50	4-Feb	4-Feb	147.60	4.0
BRONSON POINT	036	VLO	S	25,000	45.00	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		WNC	S	50,000	10.45	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	XIDE	B	5000	3.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XLY	C	150,000	49.87	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								60,287.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/01	CR INTRINSIC/CHRIS C	041	AGCO	SS	10,000	53.33	n/a	n/a	300.00 3.0
AO,CXL	02/01	CR INTRINSIC/CHRIS C	041	AGCO	SS	10,000	53.33	n/a	n/a	350.00 3.5
AO,CRT	02/01	SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	30.70	n/a	n/a	1500.00 3.0
AO,CXL	02/01	SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	30.70	n/a	n/a	1750.00 3.5
AO,CRT	01/30	RIVERPARK CAPITAL	025	DLTR	B	5,870	40.38	n/a	20-Nov	293.50 5.0
AO,CXL	01/30	RIVERPARK CAPITAL	025	DLTR	B	5,870	40.38	n/a	20-Nov	293.50 5.0
AO,CXL	02/01	S.A.C. CAPITAL	044	FDO	B	30,000	56.54	n/a	4-Jan	1050.00 3.5
AO,CRT	02/01	S.A.C. CAPITAL	044	FDO	B	30,000	56.54	n/a	4-Jan	900.00 3.0
AO,CRT	02/01	PARAMETER CAPITAL MGMT LLC	044	JOY	B	40,000	64.70	n/a	11-Jul	1200.00 3.0
AO,CXL	02/01	PARAMETER CAPITAL MGMT LLC	044	JOY	B	40,000	64.70	n/a	11-Jul	1600.00 0.0
AO,CRT	02/01	EDGEWOOD	085	MJN	S	72	75.17	n/a	n/a	3.60 0.0
AO,CXL	02/01	EDGEWOOD	085	MJN	S	72	75.17	n/a	n/a	3.60 0.0
AO,CXL	02/01	HALCYON LLC	041	STZ	B	75,000	33.40	n/a	1-Feb	3000.00 0.0
AO,	02/01	HALCYON LLC	041	STZ	B	70,304	33.40	n/a	1-Feb	2109.12 0.0
AO,CRT	02/01	HALCYON LLC	041	STZ	B	4,696	33.40	n/a	1-Feb	140.88 3.0
AO,	02/01	HALCYON LLC	041	VC	S	10,434	57.28	n/a	n/a	313.02 0.0
AO,CRT	02/01	HALCYON LLC	041	VC	S	783	57.28	n/a	n/a	23.49 3.0
AO,CXL	02/01	HALCYON LLC	041	VC	S	11,217	57.28	n/a	n/a	448.68 0.0
TOTAL (AO, CXL, CRT) :										-1,712.17

TOTAL (Trade Date):	60,287.40
TOTAL (AO, CXL, CRT):	-1,712.17

TOTAL (RUN DATE) / NFS:	58,575.23
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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 4-Feb.

JNY, PVH, RL, VFC

MRI Securities without Trade Activity on 4-Feb.

MCD, IR, BA, RDEN, GES, GIL, HBI, YUM, GS, JPM, STT, NTRS, C, BK, WFC, ENR

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)