



Daily Compliance Activity Report

Trade Date: 03/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f STEFFANIE CARMELA CA	FID	ACW	B	550	5.43	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANN	SS	25,000	30.26	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	20,000	14.85		n/a	n/a	500.00 2.5
SIGMA CAPITAL ASSOCIATES	041	ARO	B	33,000	13.63	n/a	n/a	990.00	3.0
HEIGHTS CAPITAL	251	BECN	SS	38,412	38.77	n/a	n/a	1,536.48	0.0
B BUCK CAPITAL MGMT		BHI	B	9,000	44.74	n/a	n/a	non-brg	1.0
COOPER CREEK PART	028	BONT	B	5,000	13.40	n/a	13-Mar	200.00	4.0
PORTER-ORLIN/ NC TO AMICI CAPITAL	044	CHK	B	135,100	21.05		n/a	n/a	5,404.00 4.0
HOPLITE MGMT	025	CHTR	B	2,803	102.49	n/a	n/a	112.12	0.0
BTG PACTUAL	040	COH	S	15,000	49.88	n/a	27-Feb	450.00	3.0
B BUCK CAPITAL MGMT		CROX	S	10,000	15.40	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	30,000	15.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	51,436	15.40	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	CROX	B	75,000	15.45	n/a	n/a	3,750.00	0.0
ROYCE TRADING	031	CSL	S	26,000	67.88	n/a	n/a	1,300.00	0.0
SENATOR INVESTMENT GROUP	036	CWH	B	200,000	23.05	n/a	n/a	6,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATRIOT STRATEGY PARTNERS	036	CWT	B	10,000	19.48	n/a	n/a	400.00	4.0
HOPLITE MGMT	025	DLTR	B	6,361	46.29	n/a	1-Mar	254.44	0.0
S.A.C. CAPITAL	044	EEM	SS	25,000	41.93	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		FOR	S	10,000	22.80	n/a	15-Feb	non-brg	2.5
ß BUCK CAPITAL MGMT		GCO	SS	7,000	59.52	n/a	n/a	non-brg	4.0
ZWEIG FUNDS	006	GES	SS	25,000	25.49	21-Mar	21-Mar	1,250.00	0.0
S.A.C. CAPITAL	044	GE	SS	75,000	23.45	n/a	n/a	2,250.00	3.0
ß BUCK CAPITAL MGMT		GIII	S	12,000	37.85	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIII	S	13,200	38.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	18,000	37.87	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	S	25,000	38.08	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	S	45,000	38.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	40,000	38.71	n/a	14-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	24,000	41.86	n/a	1-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	40,000	42.07	n/a	1-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	60,000	42.02	n/a	1-Mar	non-brg	4.0
f JASON ERIC COHEN	FID	HLF	B	500	37.45	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	036	HNR	B	184,896	3.70	n/a	n/a	9,244.80	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	085	HRB	B	100,000	27.95	n/a	n/a	5,000.00	0.0
BALYASNY ASSET MGMT	044	HTZ	B	25,000	21.10	n/a	n/a	1,250.00	0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	250	21.13	n/a	n/a	0.00	0.0
KOLVEN CAPITAL	025	IAU	S	1,900	15.71	n/a	n/a	57.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	44.86	n/a	18-Mar	750.00	5.0
BESSEMER INVESTMENT	085	ITW	B	175,000	62.95	n/a	n/a	7,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	15.88	n/a	6-Mar	1,500.00	3.0
SCOPUS FUND	041	KMT	B	5,000	40.10	n/a	n/a	200.00	0.0
f MAY Y TANG	FID	KORS	B	60	55.75	n/a	12-Mar	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	46.33	n/a	6-Mar	750.00	3.0
KOLVEN CAPITAL	025	LAMR	B	1,400	47.46	n/a	n/a	42.00	3.0
HOLLIS CAPITAL	033	LCC	B	10,000	17.00	n/a	5-Mar	500.00	5.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	250,000	16.98	n/a	5-Mar	10,000.00	4.0
WEXFORD CAPITAL	284	LEA	B	9,000	55.79	n/a	19-Mar	270.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LORL	B	5,000	59.99		n/a n/a	200.00	4.0
ROARING BLUE LION MGMT	031	LULU	SS	12,600	64.33	n/a	21-Mar	504.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRONG/MARK GRONET	030	MLI	B	2,334	54.06	n/a	1-Mar	93.36	0.0
HEIGHTS CAPITAL	251	MRC	B	46,890	32.10	n/a	n/a	1,875.60	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	15,000	6.65		n/a	n/a	450.00 3.0
FIRST NEW YORK	086	NOK	B	20,000	3.44	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	ORCL	S	100,000	32.68	n/a	n/a	3,000.00	0.0
MATRIX ASSET ADV.	091	OXY	B	1,500	78.64	n/a	n/a	20.00	2.0
CR INTRINSIC/CHRIS C	041	PBI	SS	25,000	15.25	n/a	n/a	750.00	3.0
COUGAR TRADING	044	PLCE	SS	5,000	46.12	n/a	10-Jan	250.00	5.0
ß BUCK CAPITAL MGMT		SCSS	S	50,000	18.65	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SCSS	S	50,000	18.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	SS	10,000	62.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLM	S	25,000	20.13	n/a	19-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		SPN	B	35,600	25.49	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SPN	B	44,400	25.61	n/a	n/a	non-brg	4.0
SEVEN LOCKS CAPITAL	025	STZ	S	9,990	46.74	n/a	28-Feb	299.70	3.0
SEVEN LOCKS CAPITAL	025	SVU	S	35,000	4.67	n/a	n/a	700.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	TXI	S	10,000	65.38	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		UA	S	30,000	48.40	n/a	20-Mar	non-brg	0.8
ß BUCK CAPITAL MGMT		UA	S	50,000	48.68	n/a	20-Mar	non-brg	4.0
f GAVIN N CADWALLADER	FID	UA	B	60	48.80	n/a	20-Mar	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	UA	B	25,000	49.20	n/a	20-Mar	750.00	3.0
f MANNY I KORMAN	FID	URI	B	4000	55.42	n/a	17-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		VMC	B	10,000	52.55	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VMC	B	20,000	52.45	n/a	n/a	non-brg	4.0
KAM ADVISORS LLC	041	VZ	C	38,700	48.60	n/a	n/a	1,161.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	72.98	n/a	22-Feb	750.00	3.0
ß BUCK CAPITAL MGMT		WSM	SS	10,000	49.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	20,000	49.37	n/a	n/a	non-brg	4.0
f DOUGLAS ROGERS	FID		B	8000	103.98	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								74,464.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/15	PATRIOT STRATEGY PARTNERS	036	KW	B	10,000	15.83	n/a	n/a	500.00 5.0
AO,CXL	03/15	PATRIOT STRATEGY PARTNERS	036	KW	B	10,000	15.83	n/a	n/a	400.00 4.0

TOTAL (AO, CXL, CRT) :	100.00
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TOTAL (Trade Date) :	74,464.50
TOTAL (AO, CXL, CRT) :	100.00

TOTAL (RUN DATE) / NFS:	74,564.50
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	03/20	BUCK CAPITAL MGMT.	MVRX	C	2,800	269.90	n/a	n/a	84.00	
CRT	03/20	BUCK CAPITAL MGMT	MVRX	C	2,800	269.90	n/a	n/a	604.58	21.6

MRI Securities with Trade Activity on 21-Mar.

GES

MRI Securities without Trade Activity on 21-Mar.

JBLU

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)