



Daily Compliance Activity Report

Trade Date: 04/19/2013

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		1913 HK	S	460,000	9.22	n/a	n/a	non-brg	0.6
CAISSE DEPOT PLACEMENT Q	257	ADBE	SS	15,000	44.48	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		AEO	S	20,000	18.43	n/a	2-Dec	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	AIG	S	1,950	38.82	n/a	n/a	68.25	0.0
NWQ INVESTMENT MGMT CO	084	AMAT	S	2,050	12.90	n/a	n/a	71.75	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	46.37	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	AON	S	450	60.15	n/a	n/a	15.75	0.0
NWQ INVESTMENT MGMT CO	084	APA	S	300	68.76	n/a	18-Apr	10.50	0.0
NWQ INVESTMENT MGMT CO	084	AU	S	1,400	18.64	n/a	n/a	49.00	0.0
MILLRACE FUND LP	028	AXE	S	7,000	65.56	n/a	19-Apr	280.00	0.0
B BUCK CAPITAL MGMT		BBBY	SS	15,000	66.74	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	BBY	SS	11,000	22.88	n/a	n/a	330.00	0.0
PROSPECTOR PARTNERS LLC	036	BEAM	S	5,000	64.65	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BHI	B	24,000	43.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BLMN	S	20,200	20.78	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		BLMN	S	8,900	20.87	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	BUFHX	B	214	11.67	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	CA	S	2,150	24.27	n/a	n/a	75.25	0.0
SOROS	036	CA	B	219,831	24.30	n/a	n/a	8,793.24	0.0
B BUCK CAPITAL MGMT		CHS	SS	30,000	17.23	n/a	5-Feb	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	CLX	B	10,000	89.91	n/a	28-Mar	300.00	3.0
f ALEXANDRA ELISE ZOLI	FID	CMG	S	40	358.43	19-Apr	19-Apr	0.00	0.0
B BUCK CAPITAL MGMT		CMG	C	10,100	347.54	19-Apr	19-Apr	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	CMG	S	60	358.89	19-Apr	19-Apr	0.00	0.0
NWQ INVESTMENT MGMT CO	084	CNQ	S	1,150	28.80	n/a	n/a	40.25	0.0
NWQ INVESTMENT MGMT CO	084	CSCO	S	1,350	20.42	n/a	26-Feb	47.25	0.0
NWQ INVESTMENT MGMT CO	084	CVS	S	450	57.84	n/a	n/a	15.75	0.0
NWQ INVESTMENT MGMT CO	084	C	S	950	45.03	n/a	16-Apr	33.25	0.0
SANDLER O'NEILL ASSET	031	C	S	100,000	45.02	n/a	16-Apr	5,000.00	5.0
HIGHBRIDGE CAP	041	DE	SS	1,795	83.56	n/a	11-Jul	53.85	3.0
B BUCK CAPITAL MGMT		DKS	S	20,000	47.03	n/a	17-Apr	non-brg	4.0
NEWLAND CAPITAL MGT	025	DOV	B	10,000	68.15	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	EMC	B	5,000	21.90	n/a	26-Feb	200.00	0.0
HIGHBRIDGE CAP	041	EMN	B	2,204	70.10	n/a	n/a	66.12	3.0
HIGHBRIDGE CAP	041	ETN	B	4,394	57.01	n/a	3-Apr	131.82	3.0
B BUCK CAPITAL MGMT		EXPR	S	20,000	16.99	n/a	n/a	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	33,675	18.36	n/a	17-Apr	1,010.25	0.0
BNP PARIBAS SEC	040	FLO	B	14,400	32.32	n/a	n/a	432.00	3.0
B BUCK CAPITAL MGMT		FL	S	20,000	31.55	n/a	17-Apr	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	3690	1.00	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	GCI	C	25,000	20.42	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		GIII	S	20,000	37.31	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIL	S	20,000	38.89	n/a	14-Mar	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	GM	S	1,100	29.11	n/a	18-Apr	38.50	0.0
B BUCK CAPITAL MGMT		GNC	S	20,000	42.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	S	20,000	37.17	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	GS	S	100	138.39	n/a	16-Apr	3.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	HAL	S	200	37.06	n/a	n/a	7.00	0.0
⌘ BUCK CAPITAL MGMT		HAWK	B	1,000	23.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		HAWK	S	1,000	26.56	n/a	n/a	non-brg	2.5
MERRILL ASSET/BLACKROCK	297	ICE	S	400	153.85	n/a	n/a	16.00	0.0
COLUMBUS CIRCLE	036	IMPV	B	384	38.38	n/a	n/a	15.36	0.0
SCOPUS FUND	041	IP	B	10,000	45.69	n/a	17-Apr	400.00	4.0
NWQ INVESTMENT MGMT CO	084	IR	S	300	53.75	n/a	27-Mar	10.50	0.0
LIONEYE CAPITAL	040	JCP	B	20,000	15.28	n/a	18-Apr	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		JIVE	B	35,700	14.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	34,762	40.70	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	66,000	40.56	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	JPM	S	350	47.24	n/a	15-Apr	12.25	0.0
MACELLUM CAPITAL	086	KSS	B	45,000	47.40	n/a	8-Apr	1,350.00	3.0
EPOCH INV MGMT	030	KS	B	15,407	27.51	n/a	n/a	462.21	0.0
BRONSON POINT	036	LEA	B	50,000	51.66	n/a	18-Apr	1,500.00	0.0
⌘ BUCK CAPITAL MGMT		LEG	SS	30,000	32.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	LOW	SS	25,000	38.16	n/a	n/a	1,250.00	0.0
CAISSE DEPOT PLACEMENT Q	257	LSCC	B	75,000	4.80	n/a	n/a	2,250.00	3.0
BNP PARIBAS SEC	040	LULU	B	15,200	68.50	n/a	17-Apr	456.00	3.0
f KEVIN MICHAEL O'GORM	FID	LULU	S	10	1.40	n/a	17-Apr	0.00	0.0
HIGHBRIDGE CAP	041	LYB	B	1,739	57.67	n/a	n/a	52.17	3.0
NWQ INVESTMENT MGMT CO	084	L	S	450	43.00	n/a	n/a	15.75	0.0
MARSICO CAPITAL	046	MDLZ	B	250,000	31.36	n/a	n/a	10,000.00	0.0
NWQ INVESTMENT MGMT CO	084	MET	S	700	35.59	n/a	n/a	24.50	0.0
NWQ INVESTMENT MGMT CO	084	MOS	S	150	57.58	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	MSFT	S	1,300	29.71	n/a	n/a	45.50	0.0
OTTER CREEK MGMT	093	MSFT	S	50,000	29.86	n/a	n/a	1,500.00	3.0
NWQ INVESTMENT MGMT CO	084	NRG	S	700	27.00	n/a	n/a	24.50	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		OSIS		S	25,673	54.75	n/a	n/a	770.19 0.0
B BUCK CAPITAL MGMT		OXM	SS	10,000	56.00	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	OXY	S	150	79.35	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	PCAR	S	450	48.26	n/a	n/a	15.75	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PCL	B	30,000	52.11	n/a	19-Apr	1,500.00	5.0
B BUCK CAPITAL MGMT		PETM	SS	10,000	66.80	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	PETM	S	10,000	66.83	n/a	n/a	300.00	3.0
NWQ INVESTMENT MGMT CO	084	PFE	S	2,300	30.91	n/a	n/a	80.50	0.0
NWQ INVESTMENT MGMT CO	084	PM	S	100	91.85	n/a	n/a	3.50	0.0
f DAVID GEORGE BUCK	FID	PSDV	S	5244	2.27	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	PSX	B	40,000	57.59	n/a	n/a	1,600.00	4.0
CAERUS GLOBAL	041	PVH	B	3,000	105.91	n/a	1-Apr	120.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	B	11,000	86.42	n/a	17-Apr	440.00	4.0
B BUCK CAPITAL MGMT		RLJE	S	100	4.30	n/a	n/a	non-brg	2.0
f YANAI A FRANK	FID	RNF	S	500	34.86	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ROC	B	1,743	62.60	n/a	n/a	52.29	3.0
NWQ INVESTMENT MGMT CO	084	RTN	S	200	57.21	n/a	11-Mar	7.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	100,361	18.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SEAS	B	5,000	27.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		SEAS	S	5,000	31.93	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SHOO	S	10,000	44.41	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	SNDK	S	98,817	52.61	n/a	n/a	3,952.68	0.0
NWQ INVESTMENT MGMT CO	084	SNY	S	950	52.90	n/a	n/a	33.25	0.0
NEUBERGER BERMAN	036	SO	B	212,811	48.35	n/a	n/a	8,512.44	0.0
BNP PARIBAS SEC	040	SPLS	S	50,000	12.77	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		SPN	B	40,000	23.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SWFT	S	75,000	13.11	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	TEVA	S	750	37.95	n/a	18-Apr	26.25	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	69.15	n/a	18-Apr	1,500.00	3.0
B BUCK CAPITAL MGMT		TJX	S	10,000	46.85	n/a	11-Apr	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	TLM	S	3,000	11.00	n/a	n/a	105.00	0.0
NWQ INVESTMENT MGMT CO	084	TWX	S	600	59.57	n/a	n/a	21.00	0.0
CAISSE DEPOT PLACEMENT Q	257	TXN	SS	20,000	33.72	n/a	n/a	600.00	3.0
NEUBERGER BERMAN	036	TYPE	B	2,240	22.40	n/a	n/a	89.60	0.0
NEUBERGER BERMAN	036	UNF	B	1,860	90.22	n/a	n/a	74.40	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	UNM	S	1,750	26.26	n/a	n/a	61.25	0.0
NWQ INVESTMENT MGMT CO	084	UNP	S	150	145.70	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	VIAB	S	800	66.04	n/a	n/a	28.00	0.0
NWQ INVESTMENT MGMT CO	084	VOD	S	900	29.62	n/a	n/a	31.50	0.0
NWQ INVESTMENT MGMT CO	084	WFC	S	750	36.60	n/a	15-Apr	26.25	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	78.34	n/a	22-Feb	750.00	3.0
UNITED STATES PENSION	085	WRI	S	120,000	32.26	n/a	n/a	6,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	S	145,000	29.97	n/a	19-Apr	7,250.00	5.0
HIGHBRIDGE CAP	041	XOP	SS	4,560	54.85	n/a	n/a	91.20	2.0
ß BUCK CAPITAL MGMT		XPO	B	10,000	16.11	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		XPO	B	21,800	15.90	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		XPO	B	4,800	16.09	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	YUM	S	15	0.68	n/a	17-Apr	0.00	0.0
TOTAL (Trade Date):								74,815.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/18	AMBER CAPITAL	046	ANV	SS	239,056	10.49	n/a	n/a	9562.24 4.0
AO,CXL	04/18	AMBER CAPITAL	046	ANV	SS	239,056	10.49	n/a	n/a	9562.24 4.0
AO,CXL	04/16	PROSPECTOR PARTNERS LLC	036	PAYX	B	300	35.59	n/a	n/a	12.00 4.0
AO,CRT	04/16	PROSPECTOR PARTNERS LLC	036	PAYX	B	300	35.59	n/a	n/a	12.00 4.0
AO,CRT	04/16	HALCYON LLC	041	S	S	100,000	7.14	n/a	n/a	2000.00 2.0
AO,CXL	04/16	HALCYON LLC	041	S	S	100,000	7.14	n/a	n/a	2000.00 2.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	74,815.82
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	74,815.82
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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 19-Apr.

CMG

MRI Securities without Trade Activity on 19-Apr.

HON, HRS, KMB

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)