



Daily Compliance Activity Report

Trade Date: 03/11/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f YANAI A FRANK	FID	ADSK	B	500	40.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	24,000	20.79	n/a	2-Dec	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	AIG	S	2000	39.52	n/a	n/a	0.00	0.0
BRONSON POINT	036	ARCP	B	130,000	14.39	n/a	n/a	3,900.00	0.0
B BUCK CAPITAL MGMT		ARO	SS	35,000	14.00	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BA	B	50	82.46	n/a	11-Mar	0.00	0.0
f JASON ERIC COHEN	FID	BBRY	B	1200	13.71	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	S	1545	5.00	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	BBW	S	5000	5.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBY	B	170,000	20.21	n/a	n/a	non-brg	4.0
STELLIAM INV ADV	086	BBY	B	40,000	20.13	n/a	n/a	1,600.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	CPWR	B	25,000	12.03		n/a	n/a	750.00 3.0
COBALT	041	DAL	B	100,000	16.31	n/a	5-Mar	4,000.00	4.0
BESSEMER INVESTMENT	085	DD	S	10,672	49.27	n/a	n/a	426.88	4.0
B BUCK CAPITAL MGMT		DKS	B	10,000	45.31	n/a	11-Mar	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DKS	B	40,000	45.44	n/a	11-Mar	non-brg	1.0
JOSEPH CIRO AMATURO	FID	DSX	S	5000	9.11	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	DTV	B	2000	50.84	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	DXJ	S	1000	43.45	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	DXJ	S	300	43.46	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	DXJ	S	400	43.46	n/a	n/a	0.00	0.0
DAEIL CHA	FID	FBC	B	19	15.10	n/a	n/a	0.00	0.0
GERALD EPHRAM COHEN	FID	FBN	B	4000	0.96	n/a	n/a	0.00	0.0
JASON ERIC COHEN	FID	FBN	B	3000	0.94	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FINL	B	14,100	18.36	n/a	6-Mar	564.00	0.0
SCOPUS FUND	041	FL	B	50,000	32.44	n/a	8-Mar	2,000.00	0.0
BUCK CAPITAL MGMT		FOR	S	9,186	21.50	n/a	15-Feb	non-brg	0.8
BUCK CAPITAL MGMT		GIL	S	10,000	38.61	n/a	7-Feb	non-brg	4.0
JASON ERIC COHEN	FID	GLD	B	3	4.54	n/a	n/a	0.00	0.0
MELISSA LEE BACKUS	FID	GM	B	2000	28.38	n/a	11-Mar	0.00	0.0
BUCK CAPITAL MGMT		HBC CN	S	50,000	14.88	n/a	n/a	non-brg	0.0
GALT INVESTMENT	041	HOTT	S	12,300	13.85	n/a	n/a	615.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	HWCC	B	5000	12.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IBM	SS	700	209.99	n/a	n/a	non-brg	4.0
HOPLITE MGMT	025	INTC	SS	65,000	21.37	n/a	n/a	2,600.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	47.00	n/a	7-Mar	2,500.00	5.0
f MELISSA LEE BACKUS	FID	JPM	B	1000	50.62	n/a	11-Mar	0.00	0.0
IMPALA ASSET MMT	040	KNL	B	135,714	18.38	n/a	n/a	5,428.56	4.0
B BUCK CAPITAL MGMT		KNX	S	30,000	16.13	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	10,000	55.12	n/a	21-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		KORS	B	20,000	55.24	n/a	21-Feb	non-brg	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	36.67	n/a	7-Mar	750.00	5.0
COLUMBIA PARTNERS	028	LNCO	B	5,000	39.99	n/a	n/a	200.00	0.0
B BUCK CAPITAL MGMT		LOW	C	50,000	39.58	n/a	n/a	non-brg	4.0
DISCIPLINED GROWTH INV.	030	LTD	B	24,100	45.21	n/a	n/a	1,205.00	0.0
f KEVIN MICHAEL O'GORM	FID	LULU	B	10	3.32	n/a	6-Mar	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	LVS	S	200	53.69	n/a	13-Jun	0.00	0.0
B BUCK CAPITAL MGMT		MDC	SS	12,000	39.48	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	NKE	B	25,000	54.53	n/a	6-Mar	750.00	3.0
WHITE PINE CAPITAL	030	NPTN	B	5,600	5.23	n/a	n/a	280.00	0.0
SCOPUS FUND	041	NSC	B	10,000	74.94	n/a	n/a	400.00	0.0
f DAVID GEORGE BUCK	FID	NSRGY	B	600	71.53	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	PAYX	SS	100,000	33.88	n/a	n/a	3,000.00	0.0
f CHRISTOPHER ROBERT C	FID	PCS	B	200	10.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PETM	SS	5,000	63.07	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	PETM	S	25,000	62.79	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		PVH	S	30,000	121.68	n/a	1-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		RLGY	S	40,000	47.35	n/a	n/a	non-brg	4.0
DENVER INST. ADV	084	ROST	B	408	56.21	n/a	7-Mar	20.40	0.0
HAHN CAPITAL MANAGEMENT	084	ROST	B	27,748	56.21	n/a	7-Mar	1,387.40	0.0
B BUCK CAPITAL MGMT		SKX	S	30,000	21.06	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	SLB	B	16,000	77.70	n/a	n/a	480.00	3.0
f FRANCIS MICHAEL MCCA	FID	SSI	S	400	26.57	n/a	7-Mar	0.00	0.0
B BUCK CAPITAL MGMT		SYX	C	100,000	33.55	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		TDG	SS	7,000	147.28	n/a	n/a	non-brg	4.0
LAKEWOOD CAPITAL MGMT	085	TEAR	SS	23,900	6.12	n/a	n/a	717.00	0.0
ROSEDALE CAPITAL	046	TLM	B	10,000	12.13	n/a	n/a	400.00	4.0
CYRUS CAPITAL	025	TROX	B	21,100	20.46	n/a	n/a	633.00	3.0
ASCEND PARTNERS	033	UA	B	41,356	48.19	n/a	6-Mar	1,240.68	0.0
LEVIN CAPITAL STRATEGIES	041	UA	C	30,350	48.11	n/a	6-Mar	910.50	0.0
NEWLAND CAPITAL MGT	025	UFS	S	12,500	77.75	n/a	n/a	500.00	4.0
SCOPUS FUND	041	VC	S	10,000	61.38	n/a	n/a	400.00	0.0
LAKEWOOD CAPITAL MGMT	085	WDC	S	4,000	47.94	n/a	n/a	120.00	0.0
B BUCK CAPITAL MGMT		WERN	S	20,000	23.48	n/a	n/a	non-brg	4.0
MADISON ST PARTNERS LLC	046	WFC	B	35,000	36.84	n/a	7-Mar	1,750.00	5.0
B BUCK CAPITAL MGMT		WNC	S	50,000	10.40	n/a	n/a	non-brg	4.0
LAKEWOOD CAPITAL MGMT	085	XL	S	10,000	29.63	n/a	n/a	300.00	0.0
TOTAL (Trade Date) :								40,578.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									40,578.42
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									40,578.42

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 11-Mar.
NONE

MRI Securities without Trade Activity on 11-Mar.
NONE

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)