



Daily Compliance Activity Report

Trade Date: 04/04/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	ACT	B	2,500	95.87	n/a	2-Apr	100.00	4.0
RAINIER INV MGMT	033	AME	S	34,480	41.53	n/a	n/a	1,379.20	0.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	60,000	13.40	n/a	n/a	1,800.00	3.0
BRONSON POINT	036	BBY	S	50,000	22.86	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		BIG	SS	20,000	35.31	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	CF	C	10,560	189.68	n/a	n/a	316.80	0.0
B BUCK CAPITAL MGMT		COH	C	20,000	50.70	n/a	27-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	100,000	14.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	50,000	14.90	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	033	CRS	S	56,620	45.65	n/a	11-Mar	2,264.80	0.0
BTG PACTUAL	040	DAL	B	25,000	14.80	n/a	3-Apr	750.00	3.0
B BUCK CAPITAL MGMT		DAL	B	20,000	14.60	n/a	3-Apr	non-brg	4.0
CAERUS GLOBAL	041	DDC	S	1,870	16.26	n/a	n/a	74.80	4.0
SCOPUS FUND	041	DG	B	20,000	50.66	n/a	26-Mar	800.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	SS	25,000	46.26	n/a	3-Apr	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	DRE	B	36,955	17.49	n/a	n/a	1,108.65	0.0
LATEEF MGMT	033	DRE	S	250	17.48	n/a	n/a	30.00	12.0
B BUCK CAPITAL MGMT		ENR	SS	3,500	96.81	n/a	28-Mar	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	ETN	B	6,500	58.98	n/a	3-Apr	195.00	0.0
CYRUS CAPITAL	025	EWX	SS	5,000	73.20	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		EXPR	S	20,000	17.95	n/a	n/a	non-brg	4.0
f PETER D GOLDSTEIN	FID	FGOVX	S	2836	10.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FNP	S	50,000	20.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	B	30,000	27.68	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	031	F	SS	33,200	12.67	n/a	3-Apr	1,328.00	4.0
B BUCK CAPITAL MGMT		GIII	S	10,375	37.89	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	S	12,897	38.10	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIII	S	37,897	37.99	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIL	S	40,000	39.60	n/a	14-Mar	non-brg	4.0
CHARTER OAK	033	GLDD	B	25,000	7.00	n/a	n/a	500.00	0.0
ASCEND PARTNERS	033	GM	S	99,345	27.66	n/a	3-Apr	2,980.35	0.0
OZ MGMT	040	GM	SS	100,000	27.65	n/a	3-Apr	3,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		GNC	B	30,000	39.85	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	GNTX	B	50,000	19.44	n/a	19-Mar	2,500.00	0.0
B BUCK CAPITAL MGMT		GS	C	19,100	143.18	n/a	21-Mar	non-brg	4.0
CAERUS GLOBAL	041	HAIN	S	9,739	60.09	n/a	n/a	389.56	4.0
f CICYLY S BACKUS	FID	HAL	S	1000	38.45	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	HAL	S	1000	38.51	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	HBHC	S	34,800	29.04	n/a	n/a	1,392.00	0.0
B BUCK CAPITAL MGMT		HBI	S	60,000	44.86	n/a	1-Mar	non-brg	4.0
f SERGEI BARANOVSKY	FID	INTC	B	10	0.07	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	JCI	B	2,000	33.19	n/a	27-Mar	80.00	4.0
FIRST NY SEC/CHRIS	041	JCP	B	20,000	14.63	n/a	6-Mar	600.00	3.0
BTG PACTUAL	040	KORS	SS	25,000	54.67	n/a	12-Mar	750.00	3.0
J. GOLDMAN	028	KSS	SS	10,000	48.16	n/a	6-Mar	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	47.78	n/a	6-Mar	750.00	3.0
f ANDREW MARK GRONET	FID	LCC	B	50	15.50	n/a	3-Apr	0.00	0.0
B BUCK CAPITAL MGMT		LEG	SS	30,000	32.57	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LEN 5 P38	SS	600	1.39	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		LPNT	S	50,000	46.41	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	25,000	45.42	n/a	n/a	750.00	3.0
ELM RIDGE ADVISORS	044	MBI	S	75,000	10.10	n/a	n/a	3,000.00	0.0
f SERGEI BARANOVSKY	FID	MSG	B	7	0.27	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	36.30	n/a	26-Mar	200.00	4.0
SAC CAPITAL/M GRONET	030	M	B	25,000	43.80	n/a	7-Mar	750.00	3.0
B BUCK CAPITAL MGMT		NCLH	B	20,000	29.19	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		NCLH	B	21,000	29.16	n/a	n/a	non-brg	1.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	NIHD	B	200,000	4.71		n/a	n/a	4,000.00 2.0
FARALLON CAP MGMT	040	NOK	B	112,963	3.34	n/a	n/a	1,129.63	1.0
f ANGELO CHRISTOS EFST	FID	OWW	S	300	6.25	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	OWW	S	2500	6.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	C	50,000	21.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	10,000	104.76	n/a	1-Apr	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	20,000	104.85	n/a	1-Apr	600.00	3.0
MERRILL ASSET/BLACKROCK	297	RHP	S	9,778	43.95	n/a	n/a	391.12	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	R	B	10	7.80	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SCSC	S	5000	27.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	159,209	18.45	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	SLH	S	1,000	54.85	n/a	n/a	40.00	0.0
IMPALA ASSET MMT	040	SNE	B	200,000	17.01	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		SPN	B	41,500	24.12	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	TRW	B	20,000	54.03	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		URBN	B	40,000	39.38	n/a	n/a	non-brg	4.0
f SERGEI BARANOVSKY	FID	VMED	B	7	0.30	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	WFC	S	2000	37.25	n/a	21-Mar	0.00	0.0
f LEE F BACKUS	FID	WFC	S	1000	37.25	n/a	21-Mar	0.00	0.0
B BUCK CAPITAL MGMT		WSM	C	36,900	50.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WSM	C	39,300	50.51	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	WY	B	76,400	30.80	n/a	3-Apr	3,056.00	0.0
TOTAL (Trade Date):								48,605.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/03	DC CAPITAL	044	LPX	B	50,000	19.80	n/a	3-Apr	2000.00 4.0
AO,CRT	04/03	DC CAPITAL	044	LPX	B	50,000	19.80	n/a	3-Apr	1500.00 3.0
AO,CRT	04/03	FIRST NEW YORK	086	NOK	B	20,000	3.33	n/a	n/a	600.00 3.0
AO,CXL	04/03	FIRST NEW YORK	086	NOK	B	20,000	3.33	n/a	n/a	800.00 4.0
AO,CRT	04/01	DSM CAPITAL PARTNERS	085	PCP	S	5,500	187.27	n/a	11-Mar	275.00 0.0
AO,CXL	04/01	DSM CAPITAL PARTNERS	085	PCP	S	5,500	187.27	n/a	11-Mar	275.00 0.0
AO,	04/03	NEUBERGER BERMAN	041	USTR	S	11,700	37.80	n/a	n/a	468.00 0.0
AO,CRT	04/03	NEWLAND CAPITAL MGT	025	XME	B	20,000	37.49	n/a	n/a	800.00 4.0
AO,CXL	04/03	NEWLAND CAPITAL MGT	025	XME	B	10,000	37.49	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										168.00

TOTAL (Trade Date) :	48,605.91
TOTAL (AO, CXL, CRT) :	168.00

TOTAL (RUN DATE) / NFS :	48,773.91
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	04/02	BUCK CAPITAL MGMT.	GIII	S	300	40.00	n/a	n/a	3.00
CRT	04/02	BUCK CAPITAL MGMT	GIII	S	300	40.00	n/a	n/a	3.00 1.0

MRI Securities with Trade Activity on 4-Apr.
NONE

MRI Securities without Trade Activity on 4-Apr.
MYL, DPZ

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)