



# Daily Compliance Activity Report

Trade Date: 03/04/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CORNERSTONE	030	ALTR	B	140,000	35.14	n/a	n/a	4,200.00	0.0
S.A.C. CAPITAL	044	ANF	S	50,000	46.22	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>C</b>	<b>85,000</b>	<b>29.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
S.A.C. CAPITAL	044	ARCO	SS	50,000	12.61	4-Mar	4-Mar	1,500.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ARCP	B	15,000	12.53		n/a	n/a	450.00 3.0
DC CAPITAL	044	ATI	B	100,000	29.71	n/a	1-Mar	4,000.00	4.0
GEORGE WEISS	278	AXL	B	700	12.00	n/a	4-Mar	28.00	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>325</b>	<b>12.17</b>	<b>n/a</b>	<b>4-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>BACPRD</b>	<b>B</b>	<b>30</b>	<b>25.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f TR U/W OF CH RISTINA</b>	<b>FID</b>	<b>BACPRD</b>	<b>B</b>	<b>30</b>	<b>25.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>BBRY</b>	<b>B</b>	<b>800</b>	<b>13.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>C</b>	<b>30,000</b>	<b>32.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>C</b>	<b>30,000</b>	<b>32.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
S.A.C. CAPITAL	044	BIG	SS	50,000	32.67	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>B</b>	<b>40,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CENTURION PARTNERS	041	BONT	S	5,000	10.95	n/a	21-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CAKE	C	40,000	34.98	n/a	21-Feb	non-brg	4.0
f EDWARD W WHEELER	FID	CLV	B	10000	22.10	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	COH	B	25,000	49.37	n/a	27-Feb	750.00	3.0
B BUCK CAPITAL MGMT		CPB	C	70,000	41.80	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CRMB-P	S	7,500	2.65	n/a	n/a	non-brg	2.0
f ABRAM M CHAPPELL	FID	CVGI	S	170	7.74	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	C	B	100	42.46	n/a	4-Mar	0.00	0.0
B BUCK CAPITAL MGMT		DAL	S	70,000	15.43	n/a	4-Mar	non-brg	4.0
MOORE CAPITAL	041	DG	B	20,376	48.50	n/a	1-Mar	611.28	0.0
B BUCK CAPITAL MGMT		DRI	C	50,000	46.39	n/a	1-Mar	non-brg	4.0
OZ MGMT	040	DRI	S	16,048	46.21	n/a	1-Mar	481.44	0.0
f YANAI A FRANK	FID	EDAC	S	1325	16.27	n/a	n/a	0.00	0.0
LAKESWOOD CAPITAL MGMT	085	EGHT	SS	15,000	6.73	n/a	n/a	450.00	0.0
IRIDIAN ASSET MGMT.	036	ELN	B	60,410	11.72	n/a	n/a	3,020.50	0.0
KAM ADVISORS LLC	041	EXP	S	48,500	67.56	n/a	n/a	1,455.00	0.0
CATAPULT/KGLT	040	FCX	SS	25,000	31.09	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	FFIN	S	7,700	44.90	n/a	n/a	308.00	0.0
ß BUCK CAPITAL MGMT		FOR	S	10,000	19.55	n/a	15-Feb	non-brg	2.5
ß BUCK CAPITAL MGMT		FOR	S	20,000	19.56	n/a	15-Feb	non-brg	1.0
MERRILL ASSET/BLACKROCK	297	FRT	S	11,700	106.20	n/a	n/a	468.00	0.0
MERRILL ASSET/BLACKROCK	297	GBCI	B	36,300	17.46	n/a	n/a	1,452.00	0.0
ß BUCK CAPITAL MGMT		GCO	C	10,000	58.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	40,000	36.59	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAS	C	25,000	40.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAS	C	45,000	40.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HBC CN	S	100,000	14.91	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	HOG	B	5,670	52.17	n/a	n/a	170.10	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	44.15	n/a	1-Mar	750.00	5.0
f DAVID GEORGE BUCK	FID	JPM	B	500	49.03	n/a	4-Mar	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	JPM	B	300	49.01	n/a	4-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		KMX	C	10,000	39.86	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KMX	C	40,000	39.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KNX	S	30,000	15.46	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		KNX	S	35,000	15.42	n/a	n/a	non-brg	0.8
	STRONG/MARK GRONET	030	LCC	B	2,000	13.47	n/a	4-Mar	80.00	0.0
f	DAVID GEORGE BUCK	FID	LGND	S	2500	21.24	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	LGND	S	200	21.25	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		LOW	C	25,000	38.08	n/a	n/a	non-brg	4.0
	ROBERTSON STEVENS	084	LTD	S	63,400	44.85	n/a	n/a	2,536.00	0.0
B	BUCK CAPITAL MGMT		MOH	B	4,254	31.50	n/a	n/a	non-brg	4.0
	DAVIDSON KEMPNER ADVISOR	040	MTG	C	100,000	4.28	n/a	n/a	3,000.00	0.0
B	BUCK CAPITAL MGMT		NWY	S	10,000	4.32	n/a	n/a	non-brg	2.0
	SANDLER CAPITAL	028	OII	S	119,200	62.34	n/a	n/a	5,960.00	0.0
	LAKEWOOD CAPITAL MGMT	085	OMEX	SS	10,000	3.34	n/a	n/a	300.00	0.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	O	S	5,000	45.77	n/a	n/a	150.00	3.0
B	BUCK CAPITAL MGMT		RCII	SS	30,000	36.98	n/a	n/a	non-brg	4.0
	S.A.C. CAPITAL	044	SBUX	B	50,000	55.61	n/a	1-Mar	1,500.00	3.0
B	BUCK CAPITAL MGMT		SCSS	B	30,000	17.19	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		SKX	S	20,000	21.04	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SWFT	S	27,000	13.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SWFT	S	5,000	13.85	n/a	n/a	non-brg	0.8
ADAGE CAPITAL MGMT	030	TGT	B	120,000	65.82	n/a	1-Mar	3,600.00	3.0
CAPITAL WORLD	084	TXN	B	500,000	34.45	n/a	n/a	17,500.00	0.0
BUCK CAPITAL MGMT		TXRH	C	40,000	19.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		UAL	S	35,000	28.51	n/a	4-Mar	non-brg	4.0
COOKBIELER	028	VOD	B	23,258	25.25	n/a	n/a	930.32	0.0
BUCK CAPITAL MGMT		WMT	C	15,000	72.83	n/a	22-Feb	non-brg	4.0
KAM ADVISORS LLC	041	X	C	57,500	19.99	n/a	n/a	1,725.00	0.0
<b>TOTAL (Trade Date):</b>								<b>61,375.64</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/01	S.A.C. CAPITAL	044	ASNA	B	25,000	16.41	n/a	n/a	750.00 3.0
AO,CXL	03/01	S.A.C. CAPITAL	044	ASNA	B	25,000	16.41	n/a	n/a	750.00 3.0
AO,CRT	03/01	LISTED ERR	999	LCC	B	40,000	13.52	n/a	4-Mar	0.00 0.0
AO,CRT	03/01	LISTED ERR	999	LCC	S	40,000	13.50	n/a	4-Mar	0.00 0.0
AO,CRT	03/01	STRONG/MARK GRONET	030	LCC	B	30,870	13.50	n/a	4-Mar	1234.80 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,234.80</b>
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TOTAL (Trade Date) :	61,375.64
TOTAL (AO, CXL, CRT) :	1,234.80

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>62,610.44</b>
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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-Mar.

ARCO

MRI Securities without Trade Activity on 4-Mar.

SUP, MCD

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)**