



Daily Compliance Activity Report

Trade Date: 04/01/2013

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		\$\$EURUSD	C	2,588,300	1.28	n/a	n/a	non-brg	0.0
f YANAI A FRANK	FID	ADSK	B	250	39.95	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	ADS	B	1,525	160.37	n/a	n/a	76.25	5.0
HIGHBRIDGE CAP	041	ADT	SS	5,237	47.65	n/a	n/a	157.11	3.0
BAIRD INVESTMENT	047	ALTR	B	4,025	34.75	n/a	n/a	201.25	5.0
BAIRD INVESTMENT	047	AMG	B	1,325	152.05	n/a	2-Mar	66.25	5.0
BAIRD INVESTMENT	047	ANSS	B	2,700	79.50	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	ARG	B	1,525	97.96	n/a	n/a	76.25	5.0
TUDOR INVESTORS	028	ARG	B	5,000	98.21	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		ARO	SS	100,000	13.28	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	ATR	B	2,803	56.97	n/a	n/a	140.15	5.0
BAIRD INVESTMENT	047	ATU	B	5,325	30.85	n/a	n/a	266.25	5.0
BAIRD INVESTMENT	047	AYI	B	2,225	68.92	n/a	n/a	111.25	5.0
COHE & STEERS	041	BCC	B	10,000	31.85	n/a	n/a	400.00	0.0
TUDOR INVESTORS	028	BGC	B	5,000	35.71	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	BWLD	B	1,975	86.79	n/a	n/a	98.75	5.0
BAIRD INVESTMENT	047	CERN	B	1,775	94.23	n/a	n/a	88.75	5.0
CATAPULT	040	CF	S	5,870	189.76	n/a	n/a	234.80	0.0
BAIRD INVESTMENT	047	CHD	B	4,275	64.48	1-Apr	1-Apr	213.75	5.0
BAIRD INVESTMENT	047	CLB	B	1,275	134.12	n/a	1-Apr	63.75	5.0
BAIRD INVESTMENT	047	COG	B	1,575	66.77	n/a	1-Apr	78.75	5.0
SCOPUS FUND	041	COST	S	4,200	105.61	n/a	n/a	168.00	4.0
Ⓕ BUCK CAPITAL MGMT		CROX	S	100,000	14.75	n/a	n/a	non-brg	2.5
Ⓕ BUCK CAPITAL MGMT		CROX	S	75,000	14.79	n/a	n/a	non-brg	4.0
GALT INVESTMENT	041	CROX	S	3,700	14.86	n/a	n/a	148.00	4.0
PARAMETER CAPITAL MGMT LLC	044	CSX	SS	50,000	24.32	n/a	n/a	1,500.00	3.0
BAIRD INVESTMENT	047	CTXS	B	2,425	71.43	n/a	n/a	121.25	5.0
SENATOR INVESTMENT GROUP	036	DAL	B	350,000	16.33	n/a	26-Mar	10,500.00	3.0
BAIRD INVESTMENT	047	DG	B	4,625	50.62	n/a	26-Mar	231.25	5.0
BAIRD INVESTMENT	047	DKS	B	4,400	47.15	n/a	27-Mar	220.00	5.0
BAIRD INVESTMENT	047	DLR	B	3,225	66.50	n/a	n/a	161.25	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	EDWARD W WHEELER	FID	DXPE	B	20	23.15	n/a	n/a	0.00	0.0
	NEW VERNON	031	EMB	B	10,000	117.29	n/a	n/a	500.00	5.0
	BAIRD INVESTMENT	047	EWBC	B	6,400	25.35	n/a	n/a	320.00	5.0
	BAIRD INVESTMENT	047	EW	B	1,075	82.29	n/a	n/a	53.75	5.0
	S.A.C. CAPITAL	044	EXPE	B	350,000	60.63	n/a	n/a	17,500.00	5.0
	BAIRD INVESTMENT	047	FAST	B	3,550	49.78	n/a	n/a	177.50	5.0
	BAIRD INVESTMENT	047	FFIV	B	1,127	87.91	n/a	26-Feb	56.35	5.0
	BAIRD INVESTMENT	047	FIRE	B	3,300	57.43	n/a	n/a	165.00	5.0
	BAIRD INVESTMENT	047	FLR	B	2,475	65.44	n/a	n/a	123.75	5.0
	BALYASNY ASSET MGMT	044	FL	B	25,000	33.78	n/a	27-Mar	1,250.00	0.0
	PROSPECTOR PARTNERS LLC	036	FOR	S	5,000	22.03	n/a	26-Mar	200.00	4.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	S	7000	1.00	n/a	n/a	0.00	0.0
	ROARING BLUE LION MGMT	031	F	SS	116,700	12.96	n/a	1-Apr	4,668.00	4.0
	TUDOR INVESTORS	028	GD	B	4,000	69.21	n/a	22-Mar	120.00	3.0
	MACELLUM CAPITAL	086	GES	SS	42,000	24.74	n/a	21-Mar	1,260.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	GHL	B	2,702	51.87	n/a	n/a	135.10	5.0
ß BUCK CAPITAL MGMT		GIII	S	20,000	39.48	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	10,000	40.34	n/a	14-Mar	non-brg	4.0
TROUBH PART	070	GM	B	25,000	28.08	n/a	1-Apr	1,250.00	5.0
ß BUCK CAPITAL MGMT		HBI	S	10,000	45.57	n/a	1-Mar	non-brg	4.0
f YANAI A FRANK	FID	HEES	B	520	19.29	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	HMSY	B	4,675	27.47	n/a	n/a	233.75	5.0
f JONATHAN RICHARD HAR	FID	HTZ	B	200	21.73	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	ICLR	B	6,200	30.95	n/a	n/a	310.00	5.0
BAIRD INVESTMENT	047	IHG	B	6,700	30.44	n/a	n/a	335.00	5.0
BAIRD INVESTMENT	047	ILMN	B	4,025	54.24	n/a	n/a	201.25	5.0
f SERGEI BARANOVSKY	FID	INTC	B	63	0.05	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	IWM	SS	450,000	93.55	n/a	n/a	13,500.00	3.0
f DAVID GEORGE BUCK	FID	JPM	B	200	47.87	n/a	21-Mar	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	JPM	B	100	47.82	n/a	21-Mar	0.00	0.0
J. GOLDMAN	028	JWN	B	10,000	54.38	n/a	6-Mar	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	JWN	SS	25,000	54.69	n/a	6-Mar	1,000.00	4.0
FOCUSED INVESTORS	084	KO	B	16,400	40.40	n/a	28-Mar	656.00	0.0
ELM RIDGE ADVISORS	044	KSS	S	157,300	45.68	n/a	6-Mar	6,292.00	0.0
f IAN L MILLER	FID	KSS	B	25	45.66	n/a	6-Mar	0.00	0.0
CORVEX CAPITAL	041	LEA	S	30,000	55.78	n/a	1-Apr	900.00	0.0
LIONEYE CAPITAL	040	LEA	B	15,000	55.75	n/a	1-Apr	750.00	0.0
SCHOTTENFELD ASSOC	041	LEA	B	25,000	55.77	n/a	1-Apr	750.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	12,962	44.84	n/a	n/a	388.86	3.0
B BUCK CAPITAL MGMT		LULU	B	120,000	63.12	n/a	27-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		LULU	C	42,400	62.79	n/a	27-Mar	non-brg	4.0
HIGHBRIDGE CAP	041	LYB	S	4,500	62.34	n/a	n/a	135.00	3.0
KINGDON ASSET MGMT	041	LYB	S	100,000	61.74	n/a	n/a	4,000.00	0.0
f DAVID GEORGE BUCK	FID	MRK	S	500	44.23	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	S	6000	44.17	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	S	300	44.17	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	NOC	SS	5,000	69.99	n/a	11-Mar	150.00	3.0
NWQ INVESTMENT MGMT CO	084	NP	B	2,740	29.96	n/a	22-Feb	95.90	0.0
f DAVID GEORGE BUCK	FID	NSRGY	B	200	72.52	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	NSRGY	B	200	72.52	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NSRGY	B	100	72.52	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	OC	S	48,180	38.20	n/a	n/a	1,445.40	3.0
DSM CAPITAL PARTNERS	085	PCP	S	73,500	187.27	n/a	11-Mar	3,675.00	0.0
TUDOR INVESTORS	028	PCP	B	2,000	187.75	n/a	11-Mar	60.00	0.0
FOCUSED INVESTORS	084	PFE	B	14,000	28.74	n/a	n/a	560.00	0.0
FOCUSED INVESTORS	084	PG	B	5,500	77.62	n/a	1-Apr	220.00	0.0
B BUCK CAPITAL MGMT		PIR	C	20,000	22.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	C	20,000	0.00	n/a	26-Mar	non-brg	4.0
CATAPULT	040	POT	SS	31,800	39.67	n/a	n/a	1,272.00	0.0
TUDOR INVESTORS	028	PPG	B	7,000	133.85	n/a	n/a	210.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	12,500	106.97	1-Apr	1-Apr	375.00	3.0
TUDOR INVESTORS	028	PWR	B	5,000	27.88	n/a	n/a	150.00	3.0
LOCUST WOOD CAPITAL MGMT	044	QEP	B	15,450	31.50	n/a	n/a	618.00	4.0
MERRILL ASSET/BLACKROCK	297	RE	S	7,100	129.31	n/a	n/a	284.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	19,200	91.95	n/a	18-Mar	768.00	4.0
S.A.C. CAPITAL	044	ROST	B	50,000	59.76	n/a	22-Mar	1,500.00	0.0
SURVEYOR CAPITAL	251	ROST	SS	45,400	59.76	n/a	22-Mar	1,362.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	R	B	20	8.80	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	SBUX	S	100,000	56.88	n/a	1-Apr	3,000.00	3.0
f JOSEPH CIRO AMATURO	FID	SPY	S	500	156.43	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	STFC	S	5,000	17.09	n/a	n/a	200.00	4.0
f NILSA VAZQUEZ	FID	STT	S	310	59.02	n/a	21-Mar	0.00	0.0
f PATRICK TERENCE DUFF	FID	TACT	S	1000	7.78	n/a	n/a	0.00	0.0
PARAMETER CAPITAL MGMT LLC	044	TEX	SS	11,343	32.90	n/a	n/a	340.29	3.0
B BUCK CAPITAL MGMT		TGT	C	20,000	68.55	n/a	13-Mar	non-brg	4.0
FOCUSED INVESTORS	084	TGT	B	7,400	68.65	n/a	13-Mar	296.00	0.0
B BUCK CAPITAL MGMT		TIF	C	20,000	70.11	n/a	n/a	non-brg	4.0
NEW VERNON	031	TLT	B	10,000	118.26	n/a	n/a	500.00	5.0
PAR CAPITAL	268	TRLA	SS	25,000	30.55	n/a	n/a	1,000.00	0.0
PROSPECTOR PARTNERS LLC	036	UFS	S	5,000	77.05	n/a	n/a	200.00	4.0
FOCUSED INVESTORS	084	UNH	B	6,000	57.48	n/a	n/a	240.00	0.0
CR INTRINIC INVESTMENT	044	URBN	B	30,000	38.68	n/a	n/a	900.00	3.0
f IAN L MILLER	FID	USG	B	40	25.83	n/a	1-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	VLO	SS	15,609	44.93	n/a	n/a	624.36	0.0
f DAVID GEORGE BUCK	FID	VNO	B	200	83.70	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	WBC	B	5,000	68.87	n/a	27-Mar	150.00	3.0
FOCUSED INVESTORS	084	WFC	B	12,600	36.91	n/a	21-Mar	504.00	0.0
FOCUSED INVESTORS	084	WMT	B	13,600	75.62	n/a	22-Feb	544.00	0.0
SCOPUS FUND	041	WSM	SS	25,000	50.60	n/a	n/a	1,000.00	4.0
SENATOR INVESTMENT GROUP	036	XLI	SS	150,000	41.64	n/a	n/a	4,500.00	3.0
f EDWARD W WHEELER	FID	XPO	S	10000	17.50	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	XRX	S	10,000	8.63	n/a	n/a	400.00	4.0
TOTAL (Trade Date) :							100,533.32		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/28	AAD CAPITAL	084	FIVE	SS	10,000	37.70	n/a	28-Mar	300.00 3.0
AO,CRT	03/28	AAD CAPITAL	084	FIVE	SS	10,000	37.70	n/a	28-Mar	300.00 3.0
AO,CRT	03/28	CAISSE DEPOT PLACEMENT Q	257	RFMD	S	75,000	5.24	n/a	n/a	2250.00 3.0
AO,CXL	03/28	CAISSE DEPOT PLACEMENT Q	257	RFMD	S	75,000	5.24	n/a	n/a	3750.00 5.0
AO,CRT	03/28	CLEARLINE CAPITAL LLC	040	SCSS	S	20,000	19.91	n/a	n/a	600.00 3.0
AO,CXL	03/28	TALPION LLC	040	SCSS	S	20,000	19.91	n/a	n/a	600.00 0.0
TOTAL (AO, CXL, CRT) :										-1,500.00
TOTAL (Trade Date) :										100,533.32
TOTAL (AO, CXL, CRT) :										-1,500.00
TOTAL (RUN DATE) / NFS :										99,033.32

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/27	BUCK CAPITAL MGMT	PVH	S	20,000	107.83	1-Apr	1-Apr	200.00 1.0

MRI Securities with Trade Activity on 1-Apr.

CHD, PVH

MRI Securities without Trade Activity on 1-Apr.

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)