



Daily Compliance Activity Report

Trade Date: 03/27/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	278	ALV	SS	20,000	67.77	n/a	19-Mar	800.00	0.0
SCOPUS FUND	041	ALV	B	2,800	68.83	n/a	19-Mar	112.00	4.0
RAINIER INV MGMT	033	ANGI	B	15,000	19.88	n/a	n/a	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	B	10,000	14.48	n/a	n/a	300.00	3.0
f JOHN MICHAEL DEMARTI	FID	ATRS	S	5000	3.49	n/a	n/a	0.00	0.0
GEORGE WEISS	278	AXL	S	5,000	13.43	n/a	27-Mar	200.00	0.0
ROSEDALE CAPITAL	046	AXL	S	20,000	13.47	n/a	27-Mar	600.00	3.0
PATRIOT STRATEGY PARTNERS	036	BMR	S	25,000	21.57	n/a	n/a	1,000.00	4.0
EPOCH INV MGMT	030	CCE	S	200,000	36.74	n/a	n/a	6,000.00	0.0
FINDLAY PARK PART	085	CHD	S	25,000	63.36	n/a	27-Mar	2,375.82	0.0
LAGRANGE CAP ADV	087	CLF	B	30,000	18.40	n/a	n/a	1,500.00	5.0
THREE G	041	COH	S	139,250	49.22	n/a	27-Feb	4,177.50	0.0
ADAGE CAPITAL MGMT	030	CRI	SS	49,374	56.73	n/a	n/a	1,481.22	3.0
f JOHN MICHAEL DEMARTI	FID	CRMBW	S	10000	0.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CROX	S	10,000	14.80	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		CROX	S	150,000	14.83	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		CROX	S	75,000	14.85	n/a	n/a	non-brg 4.0
	ROYCE TRADING	031	CROX	B	25,000	14.75	n/a	n/a	1,250.00 0.0
	SANDLER O'NEILL ASSET	031	C	B	10,000	44.49	n/a	21-Mar	500.00 5.0
	EVERGREEN	047	ED	B	143,724	59.81	n/a	n/a	5,748.96 0.0
	FIRST NY SEC/CHRIS	041	EXPR	S	12,500	17.40	n/a	n/a	375.00 3.0
	LOMAS CAPITAL	040	FL	B	17,000	34.19	n/a	27-Mar	510.00 3.0
	WAGONHOUND/NICOLAS	033	FOR	B	50,000	22.19	n/a	26-Mar	2,000.00 0.0
B	BUCK CAPITAL MGMT		FRAN	B	100,000	28.65	n/a	n/a	non-brg 0.0
	SCOPUS FUND	041	F	SS	100,000	13.21	n/a	27-Mar	4,000.00 4.0
B	BUCK CAPITAL MGMT		HBI	S	20,000	44.36	n/a	1-Mar	non-brg 4.0
f	JOHN MICHAEL DEMARTI	FID	IVR	S	2000	21.37	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		KORS	B	20,000	56.52	n/a	12-Mar	non-brg 4.0
	NOKOMIS PARTNERS	031	KSS	S	12,000	46.61	n/a	6-Mar	360.00 3.0
	MILLRACE FUND LP	028	LEA	S	1,960	55.05	n/a	22-Mar	78.40 0.0
	ADAGE CAPITAL MGMT	030	LULU	B	30,100	62.02	n/a	27-Mar	903.00 3.0
B	BUCK CAPITAL MGMT		LVS	B	50,000	56.22	n/a	13-Jun	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MAR	C	30,000	41.66	n/a	13-Jun	non-brg	4.0
MAIRS AND POWER INV	030	MDT	B	20,000	46.47	n/a	n/a	1,000.00	5.0
HALCYON LLC	041	MMR	B	50,000	16.33	n/a	n/a	1,500.00	3.0
STELLIAM INV ADV	086	MU	S	40,000	10.00	n/a	n/a	1,600.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	NDZ	B	17,400	6.49		n/a	n/a	348.00 2.0
B BUCK CAPITAL MGMT		NKE	C	55,500	58.66	n/a	27-Mar	non-brg	4.0
FOCUSED INVESTORS	084	NKE	S	113,800	58.63	n/a	27-Mar	4,552.00	0.0
T. ROWE PRICE	243	NKE	S	95,600	58.32	n/a	27-Mar	3,824.00	0.0
NWQ INVESTMENT MGMT CO	084	NP	B	2,000	30.37	n/a	22-Feb	70.00	0.0
B BUCK CAPITAL MGMT		PVH	S	20,000	112.56	n/a	1-Mar	non-brg	4.0
ADAGE CAPITAL MGMT	030	ROST	B	3,100	59.06	n/a	22-Mar	93.00	3.0
SCOPUS FUND	041	SCVL	SS	1,435	20.53	n/a	n/a	57.40	4.0
MASTERS CAPITAL MANAGE	025	SPY	B	50,000	155.21	n/a	n/a	1,500.00	3.0
SANDLER O'NEILL ASSET	031	STT	SS	6,800	59.06	n/a	21-Mar	340.00	5.0
BRONSON POINT	036	TLT	SS	100,000	118.48	n/a	n/a	3,000.00	0.0
1798 CAP/LOMBARD ASSET	040	TSO	S	15,000	57.98	n/a	n/a	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	B	20,000	24.54		n/a	n/a	600.00 3.0
ALTIMETER CAPITAL MGMT.	029	UAL	B	50,000	32.25	n/a	26-Mar	1,500.00	3.0
THREE G	041	ULTA	B	62,383	80.05	n/a	n/a	1,871.49	0.0
Õ Nilsa Vazquez		UNG	S	375	22.00	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	URI	S	15,000	52.27	n/a	17-Apr	750.00	0.0
ß BUCK CAPITAL MGMT		VMC	B	20,000	50.90	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	XLI	SS	9,900	41.23	n/a	n/a	297.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	151,800	71.01	n/a	25-Mar	6,072.00	0.0
TOTAL (Trade Date):								64,596.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/26	FINDLAY PARK PART	085	CHD	S	84,500	63.64	n/a	27-Mar	8065.77 0.0
AO,CXL	03/26	FINDLAY PARK PART	085	CHD	S	84,500	63.64	n/a	27-Mar	8065.77 0.0
AO,CRT	03/26	BAIRD INVESTMENT	047	CTRX	B	50	52.91	n/a	n/a	0.05 0.1
AO,CXL	03/26	DAVIDSON KEMPNER ADVISOR	040	DELL	C	100,000	14.55	n/a	n/a	3000.00 0.0
AO,CRT	03/26	DAVIDSON KEMPNER ADVISOR	040	DELL	C	100,000	14.55	n/a	n/a	3000.00 0.0
AO,CXL	03/26	FIRST NY SEC/CHRIS	041	SONC	SS	10,000	12.53	n/a	n/a	500.00 5.0
AO,CRT	03/26	FIRST NY SEC/CHRIS	041	SONC	SS	10,000	12.53	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										-199.95

TOTAL (Trade Date):	64,596.79
TOTAL (AO, CXL, CRT):	-199.95

TOTAL (RUN DATE) / NFS:	64,396.84
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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 27-Mar.
NONE

MRI Securities without Trade Activity on 27-Mar.
SWN, LCC

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)