



Daily Compliance Activity Report

Trade Date: 01/09/2013

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		1023 HK	S	500,000	0.64	n/a	n/a	non-brg	0.1
f EDWARD W WHEELER	FID	ABV	B	5000	33.89	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	70,000	20.61	n/a	2-Dec	non-brg	4.0
SENATOR INVESTMENT GROUP	036	ALV	SS	80,400	66.01	n/a	4-Jan	2,412.00	3.0
TIDE POINT CAPITAL	028	ANR	S	25,000	10.18	n/a	n/a	750.00	3.0
f JARROD MICHAEL FEINS	FID	BAC	B	300	11.39	n/a	8-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BWS	C	44,200	16.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BYD	S	44,600	6.90	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BYD	S	5,400	6.90	n/a	n/a	non-brg	0.8
DPB CAPITAL	029	CHK	S	5,000	17.08	n/a	n/a	250.00	5.0
S.A.C. CAPITAL	044	CROX	B	50,000	15.25	n/a	n/a	1,750.00	3.5
ROTHSCHILD ASSET	040	CVG	B	22,699	17.04	n/a	n/a	907.96	0.0
B BUCK CAPITAL MGMT		DAL	S	17,000	13.09	n/a	8-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	100,000	36.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	S	50,000	46.56	n/a	21-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	SS	15,000	47.14	n/a	21-Dec	450.00	3.0
B BUCK CAPITAL MGMT		EXPR	B	90,000	15.05	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	FBC	B	100	18.98	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	FINL	B	6,091	17.32	n/a	4-Jan	243.64	4.0
LEVIN CAPITAL STRATEGIES	041	FL	S	10,250	33.10	n/a	21-Dec	307.50	0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	3,200	18.15	n/a	8-Nov	112.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	98.92	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	98.82	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	GDX	SS	14,370	44.24	n/a	n/a	431.10	0.0
B BUCK CAPITAL MGMT		GIII	B	15,000	35.23	n/a	n/a	non-brg	4.0
OZ MGMT	040	GM	B	50,000	29.81	n/a	7-Jan	1,500.00	0.0
J. GOLDMAN	028	GNTX	B	5,000	18.34	n/a	24-Oct	200.00	4.0
TIDE POINT CAPITAL	028	GPI	S	1,200	65.04	n/a	4-Jan	36.00	3.0
LIONEYE CAPITAL	040	GY	B	60,000	9.84	n/a	n/a	3,000.00	5.0
ROARING BLUE LION MGMT	031	GY	B	136,000	9.90	n/a	n/a	5,440.00	4.0
f LEE F BACKUS	FID	HAR	S	1000	48.89	n/a	3-Feb	0.00	0.0
f DAVID GEORGE BUCK	FID	HLF	B	1000	40.43	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	HLF	S	10	0.45	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	HSP	B	5000	32.70	n/a	7-Jan	0.00	0.0
CRAMER ROSENTHAL	070	IPG	B	125,650	11.63	n/a	n/a	5,026.00	0.0
J. GOLDMAN	028	ITW	B	4,000	62.74	n/a	n/a	160.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	ITW	SS	30,000	62.00	n/a	n/a	900.00	3.0
MILLENNIUM-NEW VERNON	031	JFR	B	18,500	12.57	n/a	n/a	740.00	4.0
B BUCK CAPITAL MGMT		JNY	SS	50,000	11.08	n/a	25-Oct	non-brg	4.0
f CICILY S BACKUS	FID	KRFT	B	2000	46.28	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	KRFT	B	1000	46.28	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	KRFT	B	1000	46.32	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	KRFT	B	1000	46.28	n/a	n/a	0.00	0.0
SCOPUS FUND	041	LAD	B	10,000	39.16	n/a	n/a	400.00	4.0
TIDE POINT CAPITAL	028	LEA	S	5,000	48.17	n/a	7-Dec	150.00	3.0
WELLSPRING CAPITAL	093	LL	B	22,000	55.67	n/a	n/a	880.00	4.0
LEVIN CAPITAL STRATEGIES	041	MAS	B	26,000	17.46	n/a	n/a	780.00	0.0
DAVIDSON KEMPNER ADVISOR	040	MTG	SS	142,911	2.95	n/a	n/a	4,287.33	0.0
SAC CAPITAL/M GRONET	030	M	B	25,000	37.00	n/a	4-Jan	875.00	3.5
M&I FUNDS	047	NYX	S	77,402	32.42	n/a	n/a	3,096.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PCAR	B	22,000	45.53	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	PCS	S	20,000	9.56	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		PETM	SS	20,000	68.93	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	38.90	n/a	7-Jan	2,500.00	5.0
ASCEND PARTNERS	033	PVH	S	25,000	118.69	n/a	19-Dec	1,250.00	0.0
B BUCK CAPITAL MGMT		PVH	S	10,000	119.00	n/a	19-Dec	non-brg	1.0
f NICOLAS EVAN PAKLER	FID	PVH	B	165	118.61	n/a	19-Dec	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	RDN	B	71,600	6.23	n/a	n/a	2,148.00	0.0
B BUCK CAPITAL MGMT		RH	B	4,902	33.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RH	B	9,772	33.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RKT	S	14,935	73.51	n/a	7-Jan	non-brg	4.0
f CICILY S BACKUS	FID	RNDY	S	3000	4.52	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	RNDY	S	2000	4.52	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKS	C	100,000	10.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	C	50,000	10.55	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SKS	C	50,000	10.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	10,000	17.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	40,000	17.46	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	STLD	S	30,000	14.98	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	SYX	B	25,000	30.72	n/a	n/a	875.00	3.5
ROYCE TRADING	031	UNT	B	5,800	46.25	n/a	8-Jan	290.00	0.0
f NICOLAS EVAN PAKLER	FID	V	B	120	161.39	9-Jan	9-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WWW	SS	20,000	39.41	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	XLB	C	16,450	38.88	n/a	n/a	493.50	0.0
f CHRISTINA G ROGERS T	FID		B	5000	102.65	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID		B	100000	88.65	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								44,441.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/07	OZ MGMT	040	GM	S	20,530	29.84	n/a	7-Jan	615.90 0.0
AO,CXL	01/07	OZ MGMT	040	GM	S	20,530	29.84	n/a	7-Jan	615.90 0.0
AO,CRT	01/08	MILLENNIUM-NEW VERNON	031	JFR	B	26,750	12.49	n/a	n/a	1070.00 4.0
AO,CXL	01/08	MILLENNIUM-NEW VERNON	031	JFR	B	26,750	12.49	n/a	n/a	1605.00 6.0
TOTAL (AO, CXL, CRT) :										-535.00

TOTAL (Trade Date) :	44,441.11
TOTAL (AO, CXL, CRT) :	-535.00

TOTAL (RUN DATE) / NFS :	43,906.11
---------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 9-Jan.

V

MRI Securities without Trade Activity on 9-Jan.

MON, MA, ECL

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)