



# Daily Compliance Activity Report

Trade Date: 01/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>30,000</b>	<b>20.39</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>34,500</b>	<b>20.42</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>2.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>37,066</b>	<b>20.40</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
PARAMETER CAPITAL MGMT LLC044		ALV	B	10,000	65.92	n/a	4-Jan	400.00	4.0
PAULSON & CO INC	041	ALV	C	93,732	66.01	n/a	4-Jan	2,811.96	0.0
SCOPUS FUND	041	ALV	SS	25,000	65.74	n/a	4-Jan	1,000.00	4.0
SENATOR INVESTMENT GROUP	036	ALV	SS	60,586	66.10	n/a	4-Jan	1,817.58	0.0
<b>f</b> MICHAEL MARRANO	<b>FID</b>	<b>ARTSX</b>	<b>B</b>	<b>20</b>	<b>21.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>SS</b>	<b>20,000</b>	<b>18.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NICOLAS	033	AXL	B	93,557	11.59	n/a	7-Jan	3,742.28	0.0
CASTLEROCK	040	BA	SS	34,559	73.78	n/a	8-Jan	1,382.36	0.0
TIDE POINT CAPITAL	034	BHP	S	10,000	78.50	n/a	n/a	300.00	0.0
J. GOLDMAN	028	BWA	B	17,500	72.26	n/a	7-Nov	700.00	4.0
SAFRA ASSET MGMT.	040	CMI	B	5,000	111.23	n/a	n/a	150.00	3.0
<b>f</b> MICHAEL MARRANO	<b>FID</b>	<b>CRSOX</b>	<b>B</b>	<b>77</b>	<b>7.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	CVD	B	2,262	59.00	n/a	n/a	90.48	0.0
BRIGADE CAPITAL MGMT	029	CYH	B	102,500	32.92	n/a	n/a	3,075.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f IAN L MILLER</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>50</b>	<b>42.11</b>	<b>n/a</b>	<b>7-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>50,000</b>	<b>37.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>S</b>	<b>13,800</b>	<b>47.12</b>	<b>n/a</b>	<b>21-Dec</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>S</b>	<b>56,200</b>	<b>47.26</b>	<b>n/a</b>	<b>21-Dec</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	DKS	SS	10,000	47.29	n/a	21-Dec	500.00	5.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>EMC</b>	<b>B</b>	<b>200</b>	<b>23.69</b>	<b>n/a</b>	<b>4-Dec</b>	<b>0.00</b>	<b>0.0</b>
WOOSTER CAPITAL	035	EMC	B	45,000	23.76	n/a	4-Dec	1,800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>B</b>	<b>50,000</b>	<b>14.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FAS</b>	<b>S</b>	<b>3000</b>	<b>131.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATRIOT STRATEGY PARTNERS	036	FB	B	10,000	29.11	n/a	n/a	500.00	5.0
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>FHIGHX</b>	<b>B</b>	<b>159</b>	<b>13.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	FINL	B	10,000	17.56	n/a	4-Jan	500.00	5.0
COLUMBUS CIRCLE	036	FIO	S	22,300	19.37	n/a	n/a	892.00	0.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>FIO</b>	<b>B</b>	<b>200</b>	<b>19.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FOE</b>	<b>S</b>	<b>20000</b>	<b>4.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J. GOLDMAN	028	GM	S	35,000	29.44	n/a	7-Jan	1,400.00	4.0
WOOSTER CAPITAL	035	GM	B	25,000	29.35	n/a	7-Jan	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GNC</b>	<b>B</b>	<b>15,000</b>	<b>33.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	GNTX	B	10,000	18.40	n/a	24-Oct	400.00	4.0
BNP PARIBAS SEC	040	GPS	B	32,609	31.32	n/a	n/a	978.27	3.0
TUDOR INVESTORS	028	GPS	SS	50,000	31.91	n/a	n/a	1,500.00	3.0
UBS OCONNOR	031	GS	SS	32,400	132.96	n/a	20-Dec	972.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	84.69	n/a	n/a	200.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>C</b>	<b>44,200</b>	<b>98.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
CORNERSTONE	030	JCI	S	25,160	31.50	n/a	20-Dec	754.80	0.0
MILLENNIUM-NEW VERNON	031	JFR	B	26,750	12.49	n/a	n/a	1,605.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>SS</b>	<b>20,000</b>	<b>11.41</b>	<b>n/a</b>	<b>25-Oct</b>	<b>non-brg</b>	<b>4.0</b>
UBS OCONNOR	031	JPM	B	112,000	45.06	n/a	7-Jan	3,360.00	0.0
SCOPUS FUND	041	LAD	B	5,000	39.03	n/a	n/a	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>SS</b>	<b>20,000</b>	<b>70.96</b>	<b>n/a</b>	<b>6-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>S</b>	<b>350</b>	<b>22.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
VISIUM/BALY BOBBY	044	MTW	S	23,300	16.59	n/a	11-Jul	1,165.00	0.0
SAC TRADING TOM LEDDY	035	M	S	30,000	37.28	n/a	4-Jan	1,050.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>NUAN</b>	<b>C</b>	<b>15,200</b>	<b>22.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		NUAN	C	65,000	23.40	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		NUAN	C	93,900	23.15	n/a	n/a	non-brg	4.0
	SCOPUS FUND	041	PAG	SS	25,000	31.22	n/a	5-Nov	1,000.00	4.0
F	GAVIN N CADWALLADER	FID	PAY	B	100	30.78	n/a	n/a	0.00	0.0
	SCOPUS FUND	041	PBF	B	10,000	27.45	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		PETM	SS	50,000	68.75	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		PETM	SS	7,000	68.74	n/a	n/a	non-brg	4.0
	J. GOLDMAN	028	PH	SS	5,000	87.71	n/a	n/a	200.00	4.0
	PARAMETER CAPITAL MGMT LLC	044	PNR	B	10,000	49.50	n/a	n/a	400.00	4.0
	ASCEND PARTNERS	033	PVH	S	24,572	117.25	n/a	19-Dec	1,228.60	0.0
B	BUCK CAPITAL MGMT		RH	B	21,976	33.06	n/a	n/a	non-brg	2.5
	TIDE POINT CAPITAL	034	RIO	S	7,000	56.94	n/a	n/a	210.00	0.0
	SAC CAPITAL/M GRONET	030	RL	B	20,000	162.25	n/a	5-Nov	700.00	3.5
	PHILADELPHIA FINANCIAL	033	SAH	C	50,000	22.57	n/a	n/a	2,000.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	55.30	n/a	3-Jan	875.00	3.5
B	BUCK CAPITAL MGMT		SCSS	S	44,413	26.67	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		SCSS	S	5,587	26.61	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>SIG</b>	<b>S</b>	<b>167,800</b>	<b>58.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SKX</b>	<b>S</b>	<b>50,000</b>	<b>17.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MICHAEL MARRANO	<b>FID</b>	<b>SMAIX</b>	<b>B</b>	<b>490</b>	<b>4.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL MARRANO	<b>FID</b>	<b>SPHIX</b>	<b>S</b>	<b>71</b>	<b>9.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUFFOLK CAPITAL MGMT	040	TGT	S	110,500	60.48	n/a	3-Jan	4,420.00	0.0
PARAMETER CAPITAL MGMT LLC	044	TRW	SS	15,000	53.16	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	UNH	B	4,600	51.63	n/a	n/a	184.00	4.0
J. GOLDMAN	028	UTX	B	5,000	84.14	n/a	n/a	200.00	4.0
VISIUM/BALY BOBBY	044	UTX	S	27,000	83.61	n/a	n/a	1,350.00	0.0
TIDE POINT CAPITAL	034	VALE	S	25,000	20.38	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	WAG	B	7,690	37.90	n/a	n/a	307.60	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>5000</b>	<b>12.76</b>	<b>n/a</b>	<b>7-Jan</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	WM	B	5,210	33.94	n/a	n/a	208.40	4.0
BESSEMER INVESTMENT	085	ZMH	B	4,690	69.31	n/a	n/a	187.60	4.0
<b>TOTAL (Trade Date):</b>								<b>49,467.93</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/07	COLUMBUS CIRCLE	036	FIO	S	883	21.82	n/a	n/a	17.66 0.0
AO,	01/07	OZ MGMT	040	GM	S	1,459	29.84	n/a	7-Jan	43.77 0.0
AO,CXL	01/07	OZ MGMT	040	GM	S	1,459	29.84	n/a	7-Jan	43.77 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>17.66</b>

TOTAL (Trade Date) :	49,467.93
TOTAL (AO, CXL, CRT) :	17.66

<b>TOTAL (RUN DATE) / NFS:</b>	<b>49,485.59</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	12/21	BUCK CAPITAL MGMT.	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00
CRT	12/21	BUCK CAPITAL MGMT	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00 0.0
CXL	12/21	BUCK CAPITAL MGMT.	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00
CRT	12/21	BUCK CAPITAL MGMT	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 8-Jan.  
NONE

MRI Securities without Trade Activity on 8-Jan.  
YUM, BAC

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)**