



Daily Compliance Activity Report

Trade Date: 01/24/2013

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	200,100	0.62	n/a	n/a	non-brg	0.1
f DAEIL CHA	FID	AAPL	S	1	460.28	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ABBV	S	5,000	37.59	n/a	n/a	200.00	4.0
LOMAS CAPITAL	040	ADT	SS	56,000	46.79	n/a	n/a	1,680.00	3.0
EPOCH INV MGMT	030	AET	S	13,680	49.29	n/a	n/a	410.40	0.0
f EDWARD W WHEELER	FID	ALB	B	1000	61.37	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ALTE	S	10,000	30.13	n/a	n/a	400.00	4.0
J. GOLDMAN	028	ALV	B	5,000	66.20	n/a	11-Jan	200.00	4.0
WOOSTER CAPITAL	044	ALV	SS	25,000	65.46	n/a	11-Jan	1,000.00	4.0
f JILL ROSENBERG	FID	ARDNX	B	78	10.20	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ARG	B	5,000	91.75	n/a	18-Jan	150.00	3.0
TUDOR INVESTORS	028	AWI	B	5,000	55.28	n/a	n/a	150.00	3.0
GEORGE WEISS	278	AXL	S	5,000	11.83	n/a	24-Jan	200.00	0.0
f MANNY I KORMAN	FID	BA	B	2500	75.32	24-Jan	24-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BBY	SS	100,000	15.35	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BBY	SS	50,000	15.29	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBY	SS	50,000	15.31	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	BC	B	20,000	34.20	n/a	n/a	600.00	3.0
f AMY O ROGERS	FID	BGRFX	B	32	56.79	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BKW	C	30,000	18.10	n/a	14-Jan	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		BKW		SS	4,700	18.10	n/a	14-Jan	141.00 3.0
⚡ BUCK CAPITAL MGMT		BODY	S	14,408	8.00	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		BYD	S	275,000	6.66	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		BYD	S	41,600	6.66	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BYD	S	41,600	6.66	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BYD	S	75,000	6.65	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BYD	S	75,000	6.65	n/a	n/a	non-brg	2.0
f MANNY I KORMAN	FID	CBT	B	5000	43.11	n/a	18-Jan	0.00	0.0
TUDOR INVESTORS	028	CHRW	B	3,000	67.42	n/a	n/a	90.00	3.0
f MANNY I KORMAN	FID	COH	S	3000	51.09	24-Jan	24-Jan	0.00	0.0
STELLIAM INV ADV	086	COH	S	25,000	51.12	24-Jan	24-Jan	1,000.00	0.0
MASTERS CAPITAL MANAGE	025	CREE	SS	50,000	40.89	n/a	n/a	2,000.00	4.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		CZR		B	36,188	7.88	n/a	n/a	1,085.64 3.0
f MANNY I KORMAN	FID	DAL	B	8000	14.06	n/a	23-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLSPRING CAPITAL	093	DAL	B	20,000	13.99	n/a	23-Jan	800.00	4.0
CR INTRINSIC/CHRIS C	041	DD	B	10,000	48.23	n/a	18-Jan	350.00	3.5
B BUCK CAPITAL MGMT		DG	B	50,000	46.32	n/a	12-Dec	non-brg	4.0
f MANNY I KORMAN	FID	DPZ	B	3000	46.88	n/a	22-Jan	0.00	0.0
Õ Michael Ehrlich		DRL	B	2500	0.72	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	DRL	B	5000	0.73	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	DRL	B	5000	0.73	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FAGIX	B	300	9.66	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	FAST	SS	10,000	48.43	n/a	n/a	350.00	3.5
f JILL ROSENBERG	FID	FAUDX	B	59	10.10	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	B	50	10.10	n/a	n/a	0.00	0.0
f DAEIL CHA	FID	FBC	S	33	15.51	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	FBC	B	910	17.13	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FBC	B	3000	15.25	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	FBC	B	200	17.22	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FBIOX	B	50	117.33	n/a	n/a	0.00	0.0
BRANDWINE	028	FB	S	86,400	31.26	n/a	n/a	3,456.00	0.0
f KELLY ELIZABETH CLIF	FID	FCSAX	S	55	12.75	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FCYIX	B	149	27.23	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f AMY O ROGERS	FID	FDIVX	S	88	30.76	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FEMEX	B	398	9.13	n/a	n/a	0.00	0.0
f AMY O ROGERS	FID	FFFAX	S	1036	11.82	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FHKCX	B	151	31.71	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FILEFX	B	65	9.18	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FILEFX	B	163	9.18	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	33	9.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	50,000	18.16	n/a	22-Jan	non-brg	4.0
f JILL ROSENBERG	FID	FPCIX	B	55	10.89	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPCIX	B	46	10.89	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	64	10.89	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FPHAX	B	199	15.93	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FPIOX	S	78	10.25	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPIOX	S	68	10.25	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPIOX	S	88	10.25	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FRIFX	B	320	11.65	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSAMX	S	50	10.08	n/a	n/a	0.00	0.0
f AMY O ROGERS	FID	FSCRX	B	234	25.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JARROD MICHAEL FEINS	FID	FSEVX	B	249	42.52	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSHBX	S	58	8.60	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FTBFX	B	500	10.94	n/a	n/a	0.00	0.0
f AMY O ROGERS	FID	FUSVX	B	217	52.97	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	FUSVX	B	200	52.97	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FVSAX	S	52	15.35	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FVSAX	S	39	15.35	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FVSAX	S	39	15.35	n/a	n/a	0.00	0.0
GEORGE WEISS	278	F	B	30,000	13.90	n/a	24-Jan	1,200.00	0.0
COLUMBUS CIRCLE	036	GE	B	4,997	22.16	n/a	n/a	199.88	0.0
TROUBH PART	070	GM	B	25,000	28.87	n/a	24-Jan	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	GPI	SS	10,000	67.64	n/a	24-Jan	400.00	0.0
f DAVID GEORGE BUCK	FID	HCA	S	35	0.40	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	HDNG	S	5,260	10.80	n/a	n/a	210.40	0.0
BARROW HANLEY MEWHINNEY	031	HON	B	15,000	68.96	n/a	12-Dec	525.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	89.28	n/a	n/a	200.00	0.0
STRONG/MARK GRONET	030	IO	S	2,200	6.73	n/a	n/a	66.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	MANNY I KORMAN	FID	IP	B	2000	42.42	n/a	17-Jan	0.00	0.0	
	TUDOR INVESTORS	028	JBHT	SS	10,000	65.68	n/a	n/a	300.00	3.0	
	TUDOR INVESTORS	028	JCI	B	10,000	30.90	n/a	22-Jan	300.00	3.0	
B	BUCK CAPITAL MGMT		JOSB	C	4,031	45.70	n/a	n/a	non-brg	4.0	
	BTIG/QUENTEC	041	KLIC	S	10,000	12.57	n/a	n/a	300.00	3.0	
B	BUCK CAPITAL MGMT		KMT	B	50,000	40.33	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		KORS	S	20,000	55.93	n/a	24-Jan	non-brg	4.0	
B	BUCK CAPITAL MGMT		KSS	SS	20,000	44.72	n/a	4-Jan	non-brg	0.8	
	NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	30,000	44.92	n/a	4-Jan	900.00	3.0	
	SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	44.57	n/a	4-Jan	875.00	3.5	
	FIRST NY SEC/CHRIS	041	LCC	B	11,000	14.57	24-Jan	24-Jan	550.00	5.0	
	WELLSPRING CAPITAL	093	LCC	B	40,000	14.93	24-Jan	24-Jan	1,600.00	4.0	
B	BUCK CAPITAL MGMT		LEG	SS	40,000	29.26	n/a	n/a	non-brg	4.0	
	EPOCH INV MGMT	030	LH	S	30,800	88.09	n/a	n/a	924.00	0.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	MAPP		S	113,689	24.72	n/a	n/a	3,410.67	0.0
	BTIG/QUENTEC	041	MCHP	B	15,000	33.24	n/a	n/a	450.00	3.0	
f	JASON ERIC COHEN	FID	MINI	S	168	23.91	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f YANAI A FRANK	FID	MRTN	S	1400	20.99	n/a	n/a	0.00	0.0
BTIG/QUENTEC	041	MSFT	S	60,000	27.92	n/a	n/a	1,800.00	3.0
CHARTER OAK	033	MYL	S	50,000	28.35	n/a	24-Jan	2,500.00	5.0
DEVENNY CAP LLC/MILLENIUM	044	NAV	S	6,636	24.00	n/a	11-Jul	199.08	0.0
B BUCK CAPITAL MGMT		NCLH	S	35,098	27.29	n/a	n/a	non-brg	2.5
f AMY O ROGERS	FID	OAKIX	B	395	22.00	n/a	n/a	0.00	0.0
f AMY O ROGERS	FID	OAKMX	B	137	51.14	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	PAG	SS	20,000	32.24	n/a	5-Nov	800.00	0.0
SCOPUS FUND	041	PAG	B	20,000	33.15	n/a	5-Nov	800.00	0.0
COHE & STEERS	041	PCL	B	28,100	47.89	n/a	23-Jan	1,124.00	0.0
TUDOR INVESTORS	028	PCP	B	3,000	192.06	n/a	24-Jan	90.00	3.0
TUDOR INVESTORS	028	PCP	SS	2,000	190.24	n/a	24-Jan	60.00	3.0
HOLLIS CAPITAL	033	PFE	B	10,000	27.09	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PII	S	30,000	91.16	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	PLCE	B	20,000	49.56	n/a	10-Jan	1,000.00	0.0
BAIRD INVESTMENT	047	PRGO	S	7,352	101.53	n/a	24-Jan	367.60	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JARROD MICHAEL FEINS	FID	PRRD	B	200	12.24	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	PX	SS	2,000	111.41	n/a	18-Jan	60.00	3.0
B BUCK CAPITAL MGMT		RLGY	S	30,000	44.48	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	ROST	S	20,000	60.68	n/a	4-Jan	1,000.00	0.0
B BUCK CAPITAL MGMT		ROST	B	30,000	61.18	n/a	4-Jan	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	15,000	56.08	n/a	31-Oct	750.00	5.0
B BUCK CAPITAL MGMT		SAND SS	C	103,000	16.16	n/a	n/a	non-brg	2.4
B BUCK CAPITAL MGMT		SAND SS	C	50,000	16.16	n/a	n/a	non-brg	2.4
CAERUS GLOBAL	041	SBUX	S	11,250	54.45	n/a	22-Jan	450.00	4.0
f DAVID GEORGE BUCK	FID	SBUX	S	20	0.78	n/a	22-Jan	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	8,550	21.98	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SCSS	S	50,000	28.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	20,802	18.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	40,098	18.15	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SMG	B	2000	45.47	n/a	17-Dec	0.00	0.0
B BUCK CAPITAL MGMT		SSI	B	20,000	23.00	n/a	17-Jan	non-brg	1.0
ROSEDALE CAPITAL	046	STLD	S	10,000	15.40	n/a	n/a	400.00	4.0
f JASON ERIC COHEN	FID	STLY	B	900	4.64	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTIG/QUENTEC	041	STX	B	9,000	36.91	n/a	n/a	270.00	3.0
LEVIN CAPITAL STRATEGIES	041	STZ	SS	22,200	37.78	n/a	16-Jan	666.00	0.0
TUDOR INVESTORS	028	SWC	B	5,000	13.82	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		SWFT	S	38,000	12.93	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	SWFT	S	5,000	12.10	n/a	n/a	150.00	3.0
FARALLON CAP MGMT	040	SWHC	B	50,000	8.90	n/a	n/a	1,000.00	2.0
f YANAI A FRANK	FID	SWKS	B	700	22.01	n/a	n/a	0.00	0.0
BTIG/QUENTEC	041	TER	B	12,000	15.95	n/a	n/a	360.00	3.0
B BUCK CAPITAL MGMT		TIF	SS	20,000	62.51	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	TRV	S	30,500	78.08	n/a	n/a	1,220.00	0.0
EPOCH INV MGMT	030	TWX	S	15,560	50.99	n/a	n/a	466.80	0.0
TUDOR INVESTORS	028	TXT	SS	5,000	28.12	n/a	n/a	150.00	3.0
FIRST NY SEC/CHRIS	041	UAL	SS	7,000	25.38	n/a	14-Jan	350.00	5.0
B BUCK CAPITAL MGMT		ULTA	B	11,850	98.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URI	B	10,500	48.58	n/a	17-Apr	non-brg	1.0
BTIG/QUENTEC	041	WDC	S	6,000	48.24	n/a	n/a	180.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WERN	S	20,000	24.68	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WNC	S	50,000	9.93	n/a	n/a	non-brg	3.0
COHE & STEERS	041	WY	B	78,700	31.42	24-Jan	24-Jan	3,148.00	0.0
LONG OAR GLOBAL INV	040	WY	B	182,000	31.38	24-Jan	24-Jan	7,280.00	4.0
f EDWARD W WHEELER	FID	XIDE	B	4801	3.49	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	YUM	S	7,610	66.48	n/a	14-Jan	228.30	0.0
GEORGE WEISS	278	YUM	SS	10,000	66.42	n/a	14-Jan	400.00	0.0
TOTAL (Trade Date):								55,843.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/23	FINDLAY PARK PART	085	BAC	B	19,780	11.38	n/a	17-Jan	324.29 0.0
AO,CXL	01/23	FINDLAY PARK PART	085	BAC	B	1,444,000	11.38	n/a	17-Jan	24646.26 0.0
AO,CRT	01/23	FINDLAY PARK PART	085	BAC	B	1,424,220	11.38	n/a	17-Jan	24308.66 0.0
AO,CRT	01/18	FARALLON CAP MGMT	040	CHKP	S	55,000	48.12	n/a	n/a	1650.00 3.0
AO,CXL	01/18	FARALLON CAP MGMT	040	CHKP	S	55,000	48.12	n/a	n/a	1650.00 3.0
AO,CRT	01/18	ASCEND PARTNERS	033	PVH	B	2,695	116.18	n/a	17-Jan	80.85 0.0
AO,CXL	01/18	ASCEND PARTNERS	033	PVH	B	2,695	116.18	n/a	17-Jan	80.85 0.0
AO,CRT	01/23	ROARING BLUE LION MGMT	031	RL	SS	5,500	163.74	n/a	5-Nov	220.00 4.0
AO,CXL	01/23	ROARING BLUE LION MGMT	031	RL	SS	5,500	163.74	n/a	5-Nov	220.00 4.0
AO,CRT	01/23	FIRST NY SEC/CHRIS	041	XRT	SS	15,000	65.61	n/a	n/a	450.00 3.0
AO,CXL	01/23	FIRST NY SEC/CHRIS	041	XRT	SS	15,000	65.61	n/a	n/a	750.00 5.0

TOTAL (AO, CXL, CRT) :	-313.31
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TOTAL (Trade Date) :	55,843.77
TOTAL (AO, CXL, CRT) :	-313.31

TOTAL (RUN DATE) / NFS:	55,530.46
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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 24-Jan.

BA, COH, LCC, WY

MRI Securities without Trade Activity on 24-Jan.

AOS, GWW, FFIV, AF, RKT, PG

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)