



Daily Compliance Activity Report

Trade Date: 10/19/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL	B	5	33.51	n/a	n/a	0.00	0.0
MUHLENKAMP FUND	046	ABT	S	100,000	66.13	n/a	n/a	5,000.00	5.0
f GAVIN N CADWALLADER	FID	AIG	B	100	35.70	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	ANN	B	20,000	36.09	n/a	n/a	700.00	3.5
TUDOR INVESTORS	028	APD	B	5,000	82.13	n/a	19-Oct	150.00	3.0
TUDOR INVESTORS	028	ARG	S	5,000	82.82	n/a	8-Aug	150.00	3.0
f JONATHAN RICHARD HAR	FID	ASNA	B	750	21.21	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	AXL	SS	20,000	11.98	n/a	18-Oct	600.00	0.0
B BUCK CAPITAL MGMT		BHI	C	11,000	44.63	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BID	SS	20,000	31.61	n/a	n/a	non-brg	4.0
BRIGADE CAPITAL MGMT	029	BYD	SS	25,000	6.45	n/a	n/a	750.00	0.0
SAGE ASSET MGMT	025	BZ	S	15,239	8.71	n/a	n/a	609.56	4.0
B BUCK CAPITAL MGMT		CAKE	SS	20,000	33.74	n/a	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		CAKE	SS	30,000	33.91	n/a	18-Oct	non-brg	4.0
CR INTRINSIC/CHRIS C	041	CHRW	SS	1,500	60.61	n/a	n/a	52.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	CHS	S	50,000	19.07	n/a	5-Feb	2,500.00	0.0
OSKIE CAPITAL MGMT	224	CP	S	5,000	89.43	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	CSX	B	10,000	21.03	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	34.55	n/a	n/a	400.00	0.0
BALYASNY ASSET MGMT	044	DDS	B	10,000	76.82	n/a	n/a	500.00	0.0
CR INTRINSIC/CHRIS C	041	DD	SS	1,000	49.32	n/a	19-Oct	35.00	3.5
B BUCK CAPITAL MGMT		DECK	S	20,000	37.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	B	50,000	39.15	n/a	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		DNKN	SS	30,000	31.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DNKN	SS	30,000	31.49	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	DTG	C	30,000	84.65	n/a	n/a	900.00	0.0
f YANAI A FRANK	FID	EDAC	B	1150	13.16	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	EMR	SS	1,500	48.35	n/a	n/a	52.50	3.5
CR INTRINSIC/CHRIS C	041	ETN	SS	1,500	45.92	n/a	19-Oct	52.50	3.5
SIMMONS VENTURES	041	GES	B	10,000	25.50	n/a	18-Oct	400.00	4.0
f DAVID GEORGE BUCK	FID	GILD	S	1500	67.78	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	DAVID GEORGE BUCK	FID	GILD	S	200	67.80	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	24.98	n/a	18-Oct	300.00	0.0
	TEMAGAMI CAPITAL	041	GM	B	14,600	24.95	n/a	18-Oct	584.00	4.0
	SAC TRADING TOM LEDDY	035	GPS	B	25,000	36.36	n/a	n/a	875.00	3.5
	ARMATURE CAPITAL	041	GT	S	50,000	12.39	n/a	n/a	2,000.00	0.0
	LOMAS CAPITAL	040	GT	S	90,000	12.37	n/a	n/a	2,700.00	3.0
	NEUBERGER BERMAN	036	HBI	B	10,000	33.48	n/a	18-Oct	400.00	0.0
B	BUCK CAPITAL MGMT		HLF	S	35,000	52.30	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		HLF	S	39,833	52.19	n/a	n/a	non-brg	4.0
	BRONSON POINT	036	HOG	S	25,000	44.43	n/a	n/a	750.00	0.0
	NEUBERGER BERMAN	036	HSIC	B	10,000	75.12	n/a	n/a	400.00	0.0
	ARSENAL ASSET MANAGEMENT	028	HUBB	B	10,000	84.12	n/a	n/a	400.00	0.0
	EMPYREAN CAPITAL	084	IP	S	75,000	37.40	n/a	15-Oct	3,750.00	0.0
B	BUCK CAPITAL MGMT		IR	S	40,815	46.76	n/a	19-Oct	non-brg	4.0
	CR INTRINSIC/CHRIS C	041	ITW	SS	1,500	60.62	n/a	n/a	52.50	3.5
f	DAVID GEORGE BUCK	FID	IWF	S	2000	66.01	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	IWF	S	300	66.04	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		IWO	SS	45,000	94.33	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		IWO	SS	45,000	94.33	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		JCI	B	72,000	26.64	n/a	16-Oct	non-brg	4.0
CR INTRINSIC/CHRIS C	041	JCI	SS	2,500	26.27	n/a	16-Oct	87.50	3.5
B BUCK CAPITAL MGMT		JIVE	B	43,800	11.45	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	JNY	SS	5,000	13.49	n/a	18-Oct	250.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	JWN	S	20,000	56.91	n/a	5-Oct	600.00	3.0
B BUCK CAPITAL MGMT		KORS	S	20,000	55.28	n/a	18-Oct	non-brg	4.0
f DAVID GEORGE BUCK	FID	KORS	S	10	3.00	n/a	18-Oct	0.00	0.0
BNP PARIBAS SEC	040	KR	SS	100,000	25.11	n/a	n/a	3,000.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	KR	B	15,000	25.19	n/a	n/a	450.00	3.0
SCOPUS FUND	041	KSS	B	40,000	52.97	n/a	17-Oct	1,600.00	0.0
SUFFOLK CAPITAL MGMT	040	KSS	B	57,000	53.73	n/a	17-Oct	2,280.00	0.0
CORVEX CAPITAL	041	LNG	B	25,000	15.76	n/a	n/a	750.00	0.0
SUFFOLK CAPITAL MGMT	040	LOW	S	27,100	33.15	n/a	20-Aug	1,084.00	0.0
B BUCK CAPITAL MGMT		LULU	SS	20,000	71.10	n/a	10-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		LULU	SS	20,000	71.10	n/a	10-Sep	non-brg	4.0
f IAN L MILLER	FID	LULU	B	15	69.76	n/a	10-Sep	0.00	0.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	71.46	n/a	10-Sep	1,000.00	5.0
B BUCK CAPITAL MGMT		MCD	SS	50,000	88.93	n/a	19-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	MCD	B	12,500	89.81	n/a	19-Oct	375.00	3.0
f DAVID GEORGE BUCK	FID	MCK	S	1500	89.98	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MCK	S	200	90.01	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MCK	S	250	90.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MDC	SS	10,000	39.92	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	10,000	84.75	n/a	n/a	400.00	0.0
CR INTRINSIC/CHRIS C	041	MMM	SS	500	93.51	n/a	1-Oct	17.50	3.5
ß BUCK CAPITAL MGMT		MTOR	B	34,069	4.45	n/a	n/a	non-brg	0.8
f DAVID S HOCHSTIM	FID	MTW	S	4000	15.10	n/a	11-Jul	0.00	0.0
f MARK DEVEREAUX KAICH	FID	MTW	B	1000	15.01	n/a	11-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		M	S	30,000	40.06	n/a	5-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		NKE	SS	20,000	96.83	n/a	28-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		NKE	S	40,000	96.87	n/a	28-Sep	non-brg	4.0
f GAVIN N CADWALLADER	FID	PAG	S	100	31.14	n/a	18-Oct	0.00	0.0
ROSEDALE CAPITAL	046	PBCT	S	25,000	12.35	n/a	19-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	B	32	13.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	B	39	13.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	B	88	13.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCP	B	3,100	166.28	n/a	18-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	PH	B	20,000	79.33	n/a	n/a	800.00	4.0
CR INTRINSIC/CHRIS C	041	PLL	SS	1,000	63.42	n/a	n/a	35.00	3.5
⚡ BUCK CAPITAL MGMT		PVH	S	10,000	98.17	n/a	18-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RLGY	B	50,000	36.16	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RLGY	B	50,000	36.17	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RRGB	SS	30,000	28.93	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	50,000	46.01	n/a	4-Oct	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		SCSS	S	40,000	30.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	20,000	17.26	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	20,000	17.26	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	36,565	35.63	n/a	n/a	1,096.95	0.0
HEIGHTS CAPITAL	251	ST	SS	57,000	28.42	n/a	n/a	2,280.00	0.0
⚡ BUCK CAPITAL MGMT		SUMR	S	33,129	1.41	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SUMR	S	33,129	1.41	n/a	n/a	non-brg	2.5
⚡ EDWARD W WHEELER	FID	SWFT	B	3000	9.20	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SYX	B	50,000	31.72	n/a	n/a	1,750.00	3.5
⚡ BUCK CAPITAL MGMT		THI	SS	25,000	50.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		THI	SS	25,000	50.05	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ULTA	B	30,000	95.32	n/a	n/a	non-brg	4.0
CR INTRINSIC/CHRIS C	041	UTX	SS	1,000	78.32	n/a	n/a	35.00	3.5
TUDOR INVESTORS	028	VALE	B	10,000	18.29	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		WERN	B	10,000	22.32	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	WFC	S	69,205	34.52	n/a	15-Oct	2,768.20	0.0
⚡ BUCK CAPITAL MGMT		WRC	S	20,000	52.82	n/a	18-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WYNN	SS	70,000	115.17	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WYNN	SS	70,000	115.17	n/a	13-Jun	non-brg	4.0
SCOPUS FUND	041	WY	B	30,411	28.25	n/a	15-Oct	1,216.44	0.0
⚡ BUCK CAPITAL MGMT		XLY	SS	90,000	47.11	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XLY	SS	90,000	47.11	n/a	n/a	non-brg	2.0
f MARK DEVEREAUX KAICH	FID	XRM	S	2800	3.35	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		YUM	SS	20,000	71.04	n/a	11-Oct	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	B	35,000	71.04	n/a	11-Oct	1,050.00	3.0
⚡ BUCK CAPITAL MGMT		ZUMZ	S	50,000	25.88	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

51,439.15

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/16	PARKWEST	084	AH	SS	25,000	12.19	n/a	n/a	750.00 3.0
AO,CRT	10/16	PARKWEST	084	AH	SS	25,000	12.19	n/a	n/a	1000.00 4.0
AO,CRT	10/17	ACK ASSET	028	AXL	B	50,400	12.17	n/a	18-Oct	1512.00 0.0
AO,CXL	10/17	ACK ASSET	028	AXL	B	50,400	12.17	n/a	18-Oct	1512.00 0.0
AO,	10/18	TEMAGAMI CAPITAL	041	BEE	B	13,393	6.03	n/a	n/a	401.79 0.0
AO,CRT	10/18	TEMAGAMI CAPITAL	041	BEE	B	59,007	6.03	n/a	n/a	1770.21 3.0
AO,CXL	10/18	TEMAGAMI CAPITAL	041	BEE	B	72,400	6.03	n/a	n/a	2172.00 3.0
AO,	10/18	FORTRESS INVESTMENT (US)	036	DOV	SS	70,000	57.71	n/a	n/a	1400.00 0.0
AO,CXL	10/18	FORTRESS INVESTMENT (US)	036	DOV	SS	70,000	57.71	n/a	n/a	2800.00 0.0
AO,CRT	10/18	FORTRESS INVESTMENT (US)	036	NOV	S	38,000	81.99	n/a	n/a	760.00 0.0
AO,CXL	10/18	FORTRESS INVESTMENT (US)	036	NOV	S	38,000	81.99	n/a	n/a	1520.00 0.0
AO,CXL	10/15	MERRILL ASSET/BLACKROCK	297	WFC	B	15,844	33.77	n/a	15-Oct	633.76 0.0
AO,CRT	10/15	MERRILL ASSET/BLACKROCK	297	WFC	B	15,844	33.77	n/a	15-Oct	633.76 0.0
TOTAL (AO, CXL, CRT) :										-1,910.00

TOTAL (Trade Date):	51,439.15
TOTAL (AO, CXL, CRT):	-1,910.00

TOTAL (RUN DATE) / NFS:

49,529.15

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 19-Oct.
NONE

MRI Securities without Trade Activity on 19-Oct.
MS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)