



# Daily Compliance Activity Report

Trade Date: 11/28/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	ANW	S	68,900	4.58	n/a	n/a	3,445.00	5.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	APD	B	21,500	82.45		n/a 15-Nov	860.00	4.0
SIMMONS VENTURES	041	ARO	SS	10,000	14.01	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>B</b>	<b>20,000</b>	<b>20.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>40,800</b>	<b>10.44</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>800</b>	<b>10.43</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	AXP	B	2,000	55.24	n/a	27-Nov	100.00	5.0
MACELLUM CAPITAL	086	BONT	S	53,739	11.89	n/a	n/a	1,612.17	0.0
MERRILL ASSET/BLACKROCK	297	BXS	S	8,340	13.23	n/a	n/a	333.60	0.0
TRUST CO/COWEN/CALF.	040	CBS	S	53,744	35.21	n/a	n/a	2,687.20	0.0
GLENHILL CAPITAL	036	COH	SS	25,000	58.37	n/a	5-Nov	1,250.00	0.0
KINGDON ASSET MGMT	041	COST	S	15,000	102.34	n/a	n/a	600.00	0.0
SIMMONS VENTURES	041	CROX	B	10,000	13.50	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>38.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>38.46</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.			
GUGGENHEIM GLOBAL TRADING	(GGT)251	DLPH		S	30,000	33.31		n/a	n/a	900.00	3.0
MERRILL ASSET/BLACKROCK	297	EV	B		3,800	31.23		n/a	n/a	152.00	0.0
f ALEXANDRA ELISE ZOLI	FID	EXPR	B		300	14.50		n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FB	B		200	26.35		n/a	n/a	0.00	0.0
ROYCE TRADING	031	FINL	B		1,000	20.11		n/a	28-Sep	50.00	0.0
HARVEST MGMT (JMP)	029	FIVE		SS	7,500	30.16		n/a	28-Nov	300.00	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B		840	1.00		n/a	n/a	0.00	0.0
VERITION	028	F		S	15,000	11.25		n/a	15-Nov	450.00	3.0
B BUCK CAPITAL MGMT		GCO		S	32,500	60.05		n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO		S	7,500	59.70		n/a	n/a	non-brg	0.8
KENNEDY CAPITAL	046	GCO	B		10,000	60.59		n/a	n/a	400.00	0.0
KENNEDY CAPITAL	046	GIII		S	12,527	38.00		n/a	n/a	501.08	0.0
B BUCK CAPITAL MGMT		GM	B		14,800	24.96		n/a	15-Nov	non-brg	4.0
f JOHN M HICKEY	FID	HPQ	B		2000	12.47		n/a	n/a	0.00	0.0
DENVER INST. ADV	046	ISRG	B		1,298	530.22		n/a	n/a	51.92	0.0
SIGMA CAPITAL ASSOCIATES	041	JWN		S	50,000	55.26		n/a	26-Nov	1,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ALANA J A MADIGAN-SI	FID	KEG	B	500	6.08	n/a	21-Nov	0.00	0.0
f KAREN F LEDDY	FID	KEG	B	1200	6.07	n/a	21-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		KORS	B	40,000	52.40	n/a	14-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	118,200	50.86	n/a	26-Nov	non-brg	4.0
CAERUS GLOBAL	041	KSS	S	35,000	51.03	n/a	26-Nov	1,400.00	4.0
COUGAR TRADING	044	KSS	B	5,000	51.01	n/a	26-Nov	250.00	5.0
GLG PARTNERS	034	KSS	S	25,155	51.12	n/a	26-Nov	754.65	0.0
ß BUCK CAPITAL MGMT		LEA	B	2,800	42.83	n/a	31-Oct	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	LNC	S	12,400	24.17	n/a	n/a	496.00	0.0
KINGDON ASSET MGMT	041	LTD	S	12,000	50.54	n/a	n/a	480.00	0.0
PRIMECAP MGMT	084	LTD	B	2,700	50.67	n/a	n/a	108.00	0.0
ß BUCK CAPITAL MGMT		MTOR	B	125,000	3.93	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		M	S	20,000	39.92	n/a	26-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		M	S	30,000	39.94	n/a	26-Nov	non-brg	4.0
KLEINHEINZ CAP PART	031	M	S	60,000	39.89	n/a	26-Nov	3,000.00	5.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	3.29	n/a	n/a	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	NXV	S	50,000	24.01	n/a	n/a	1,500.00	0.0
ß BUCK CAPITAL MGMT		PAG	S	27,107	28.33	n/a	5-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	S	30,000	28.30	n/a	5-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	PAG		S	10,000	28.22	n/a	5-Nov	300.00 3.0
<b>B</b> BUCK CAPITAL MGMT		PLCE	S	31,734	48.72	n/a	27-Nov	non-brg	4.0
JP MORGAN VENTURES	046	PLCE	S	14,000	49.51	n/a	27-Nov	560.00	4.0
<b>B</b> BUCK CAPITAL MGMT		PVH 1 C120	SS	200	3.30	n/a	n/a	non-brg	300.0
<b>B</b> BUCK CAPITAL MGMT		PVH 1 C120	SS	240	3.10	n/a	n/a	non-brg	300.0
ASCEND PARTNERS	033	PVH	S	10,000	114.55	n/a	1-Nov	300.00	0.0
<b>B</b> BUCK CAPITAL MGMT		PVH	S	10,000	113.85	n/a	1-Nov	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		PVH	S	20,000	114.77	n/a	1-Nov	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		RH	S	6,249	36.28	n/a	n/a	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		RH	S	6,249	36.28	n/a	n/a	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		RH	S	8,702	36.28	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	RUE	B	41,378	28.82	n/a	n/a	1,655.12	0.0
BRIGADE CAPITAL MGMT	029	SAFM	S	17,500	48.31	n/a	n/a	525.00	0.0
<b>f</b> EDWARD W WHEELER	FID	SHS	S	1600	52.27	n/a	n/a	0.00	0.0
<b>f</b> ALEXANDRA ELISE ZOLI	FID	TEA	B	300	14.24	n/a	n/a	0.00	0.0
<b>f</b> JOHN MICHAEL ZOLIDIS	FID	TEA	B	90	14.50	n/a	n/a	0.00	0.0
<b>f</b> JONATHAN RICHARD HAR	FID	TFM	B	100	50.11	n/a	n/a	0.00	0.0
GLG PARTNERS	034	TGT	B	31,443	62.83	n/a	27-Nov	0.00	0.0
KINGDON ASSET MGMT	041	TGT	B	30,000	62.80	n/a	27-Nov	1,200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	62.82	n/a	27-Nov	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>TIVO</b>	<b>B</b>	<b>100</b>	<b>0.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>43.70</b>	<b>n/a</b>	<b>26-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>50,000</b>	<b>20.21</b>	<b>n/a</b>	<b>26-Nov</b>	<b>non-brg</b>	<b>4.0</b>
M&I FUNDS	047	URBN	B	5,327	37.95	n/a	n/a	213.08	4.0
KINGDON ASSET MGMT	041	WMT	S	30,000	70.66	n/a	15-Nov	1,200.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>XPO</b>	<b>S</b>	<b>17,800</b>	<b>16.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XPO</b>	<b>S</b>	<b>40,000</b>	<b>16.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>XPO</b>	<b>S</b>	<b>10000</b>	<b>16.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	ZUMZ	SS	17,500	20.36	n/a	n/a	525.00	3.0
<b>TOTAL (Trade Date):</b>								<b>32,384.82</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/27	PATTEN & PATTEN	025	QQQ	B	100	65.05	n/a	n/a	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date):	32,384.82
TOTAL (AO, CXL, CRT):	0.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>32,384.82</b>
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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 28-Nov.  
NONE

MRI Securities without Trade Activity on 28-Nov.  
NONE

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)**