



Daily Compliance Activity Report

Trade Date: 10/05/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	AIG	B	1000	35.22	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	ALV	S	75	65.14	n/a	23-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		ASNA	S	40,000	21.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ASNA	S	50,000	21.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ATI	B	16,000	31.18	n/a	5-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		AZO	C	9,150	379.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BID	SS	20,000	32.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BID	SS	20,000	32.21	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	BK	B	5000	23.51	n/a	5-Oct	0.00	0.0
f BARBARA S LEDDY	FID	BONT	B	1200	11.06	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	BONT	B	800	11.07	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	BSX	S	50,000	5.81	n/a	n/a	1,500.00	3.0
f EDWARD W WHEELER	FID	BTN	S	3967	4.41	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	BUD	B	100	90.76	n/a	3-Oct	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	CAB	C	8,217	56.66	n/a	n/a	246.51	0.0
EATON VANCE MGMT	029	CAM	B	125,415	55.22	n/a	n/a	3,762.45	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	CCK	S	50,000	38.08	n/a	n/a	2,500.00	0.0
IVORY CAPITAL	034	CHK	B	95,000	19.22	n/a	n/a	4,750.00	0.0
f EDWARD W WHEELER	FID	CIDM	S	20000	1.26	n/a	n/a	0.00	0.0
FARBER	085	COF	S	25,000	59.28	n/a	5-Oct	1,000.00	4.0
f EDWARD W WHEELER	FID	CVGI	B	200	0.10	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	S	1000	7.25	n/a	n/a	0.00	0.0
CASTLE ARK	031	C	B	312,440	35.40	n/a	5-Oct	15,622.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	20,000	35.98	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	20,000	36.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	27,800	36.05	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	DKS	B	10,000	52.62	n/a	17-Sep	400.00	4.0
ß BUCK CAPITAL MGMT		DLTR	B	75,000	48.01	n/a	16-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		DLTR	B	75,000	48.33	n/a	16-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		DNKN	C	57,850	30.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DNKN	C	57,850	30.99	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	ENTG	B	10,000	8.30	n/a	n/a	500.00	0.0
f JASON ERIC COHEN	FID	ESSX	B	600	3.32	n/a	n/a	0.00	0.0
Õ James Mitchell		FBC	B	9500	1.18	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	FDX	S	19,000	87.00	n/a	n/a	570.00	0.0
ROYCE TRADING	031	FINL	B	45,000	22.31	n/a	28-Sep	2,250.00	0.0
SCOPUS FUND	041	FL	B	39,349	35.71	n/a	29-Aug	1,573.96	4.0
MERRILL ASSET/BLACKROCK	297	FRC	S	1,730	33.90	n/a	n/a	69.20	0.0
SCOPUS FUND	041	GGC	S	25,000	40.38	n/a	n/a	1,000.00	4.0
KLEINHEINZ CAP PART	031	GIL	S	30,000	32.96	n/a	24-Sep	1,500.00	5.0
f STEFFANIE CARMELA CA	FID	GLUU	B	1000	4.03	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	GM	S	104,900	25.15	n/a	3-Oct	4,196.00	0.0
SAC CHICAGO ANDREW	031	GNC	S	42,500	39.68	n/a	n/a	1,487.50	3.5
f CICI LY S BACKUS	FID	HAL	S	1000	33.60	n/a	n/a	0.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	HPQ	S	100,000	14.75	n/a	n/a	4,000.00	0.0
f EDWARD W WHEELER	FID	HTLD	B	15000	13.62	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	246,070	14.50	n/a	n/a	7,382.10	0.0
SCOPUS FUND	041	IFF	B	24,028	61.19	n/a	26-Sep	961.12	4.0
STANDARD PACIFIC CAPITAL	084	INFY	B	215,000	49.08	n/a	n/a	10,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	37.04	n/a	24-Sep	2,500.00	5.0
CYRUS CAPITAL	025	IWM	B	33,250	84.58	n/a	n/a	997.50	3.0
OHIO PERS	047	JOY	B	23,000	57.51	n/a	11-Jul	690.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	75,000	51.16	n/a	5-Oct	2,250.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	60,000	13.52	n/a	5-Oct	3,000.00	5.0
B BUCK CAPITAL MGMT		MCD	C	19,750	91.10	n/a	4-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		MDT	B	25,000	44.62	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	MHK	B	5,000	81.74	n/a	n/a	200.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	10,000	86.63	n/a	n/a	400.00	0.0
OHIO PERS	047	MMM	B	31,700	94.96	n/a	1-Oct	951.00	0.0
f EDWARD W WHEELER	FID	MRTN	B	8000	17.56	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	MSCI	S	28,800	26.92	n/a	n/a	1,152.00	0.0
B BUCK CAPITAL MGMT		MWV	B	11,234	31.05	n/a	25-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		MWV	B	20,400	31.00	n/a	25-Jul	non-brg	0.8
CSFB GLOBAL PROPRIETARY	041	MWV	B	150,000	31.01	n/a	25-Jul	7,500.00	5.0
B BUCK CAPITAL MGMT		NFLX	C	38,727	66.22	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NFLX	C	77,773	66.22	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	NP	SS	5,566	27.18	n/a	14-Aug	222.64	4.0
⚡ BUCK CAPITAL MGMT		ORLY	C	1,000	87.27	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		PCLN	C	3,000	642.88	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PCLN	C	3,500	642.88	n/a	n/a	non-brg	4.0
OHIO PERS	047	PCP	S	27,362	165.01	n/a	1-Aug	820.86	0.0
⚡ BUCK CAPITAL MGMT		PFE	B	50,000	25.51	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	PKG	S	15,850	36.02	n/a	24-Sep	792.50	0.0
THOMPSON SIEGAL&WALMSLEY	029	PKY	B	15,240	13.40	n/a	n/a	454.98	0.0
BALYASNY ASSET MGMT	044	PLCE	SS	21,100	60.91	n/a	17-Sep	1,055.00	0.0
TUDOR INVESTORS	028	PNR	SS	4,995	45.37	n/a	n/a	149.85	3.0
EPOCH INV MGMT	030	RKT	S	6,940	73.34	n/a	24-Sep	208.20	0.0
⚡ BUCK CAPITAL MGMT		RL	SS	10,000	157.32	n/a	9-Aug	non-brg	4.0
OSKIE CAPITAL MGMT	224	ROST	SS	15,000	66.29	n/a	5-Oct	750.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	SAI	B	70,500	11.46	n/a	n/a	2,255.98	0.0
f EDWARD W WHEELER	FID	SI	S	2000	104.65	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CICYLY S BACKUS	FID	SLB	S	1000	72.18	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SPNC	S	10000	14.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SSI	SS	25,000	23.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	SS	25,000	23.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	SS	25,000	23.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	SS	25,000	23.40	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	STXS	S	2312	1.18	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SWFT	B	12000	9.23	n/a	n/a	0.00	0.0
FORTRESS INVESTMENT (US)	036	SWK	S	26,000	75.15	n/a	n/a	1,040.00	0.0
f CHRISTOPHER ROBERT C	FID	SWN	S	100	35.65	n/a	1-Oct	0.00	0.0
FORTRESS INVESTMENT (US)	036	TEX	B	65,000	24.47	n/a	n/a	2,600.00	0.0
ß BUCK CAPITAL MGMT		THI	SS	30,000	52.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		THI	SS	30,000	52.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		THI	SS	5,899	53.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		THI	SS	5,901	53.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TITN	B	20,000	21.25	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		TITN	B	22,400	21.36	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TITN	B	7,600	21.42	n/a	n/a	non-brg	2.0
BNP PARIBAS SEC	040	TOL	B	20,000	35.27	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TXT	B	10,000	25.97	n/a	n/a	300.00	3.0
f LBP ENTERPRISES INC	FID	URI	B	2000	34.56	n/a	17-Apr	0.00	0.0
f LEE F BACKUS	FID	URI	B	1000	34.55	n/a	17-Apr	0.00	0.0
f SNEJANA P GARFUNKEL	FID	URI	B	1000	34.55	n/a	17-Apr	0.00	0.0
TUDOR INVESTORS	028	URI	S	5,000	35.00	n/a	17-Apr	150.00	3.0
Õ James Mitchell		VMC	S	250	49.26	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WMT	C	48,000	75.01	n/a	17-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	C	76,800	75.10	n/a	17-Aug	non-brg	4.0
ASCEND PARTNERS	033	WRC	S	38,946	52.06	n/a	7-Aug	1,168.38	0.0
SIMMONS VENTURES	041	WRC	B	5,000	52.04	n/a	7-Aug	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	26.90	n/a	5-Oct	1,750.00	5.0
TOTAL (Trade Date):							100,179.73		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/02	VISIUM/BALY BOBBY	044	TTWO	B	10,036	10.24	n/a	n/a	501.80 0.0
AO,CXL	10/02	VISIUM/BALY BOBBY	044	TTWO	B	10,036	10.24	n/a	n/a	501.80 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	100,179.73
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	100,179.73
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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 5-Oct.
NONE

MRI Securities without Trade Activity on 5-Oct.
ENDP

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)