



Daily Compliance Activity Report

Trade Date: 11/29/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ABG	B	30,000	30.05	n/a	15-Nov	900.00	3.0
PZENA INV ADV	044	ALL	S	6,925	40.75	n/a	n/a	242.38	0.0
NEW JERSEY DIV OF INV.	030	ANN	S	10,000	34.16	n/a	n/a	400.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	65,600	4.58	n/a	n/a	3,280.00	0.0
SPARTAN	093	AXL	S	15,000	10.51	n/a	2-Nov	450.00	3.0
HARVEST MGMT (JMP)	029	BBBY	S	10,000	58.62	n/a	n/a	400.00	0.0
DSM CAPITAL PARTNERS	085	CATM	B	3,825	23.00	n/a	n/a	191.25	0.0
PRIMECAP MGMT	084	CAT	S	144,000	86.08	n/a	11-Jul	5,760.00	0.0
PRIMECAP MGMT	084	CHRW	B	5,100	62.24	n/a	n/a	204.00	0.0
WINSLOW CAPITAL	030	COG	S	143,500	47.86	n/a	29-Nov	4,305.00	0.0
ARCHON CAPITAL	035	COH	SS	15,000	59.03	n/a	5-Nov	450.00	0.0
KINGDON ASSET MGMT	041	COST	S	35,000	102.20	n/a	n/a	1,400.00	0.0
CATAPULT	040	DD	SS	18,000	43.53	29-Nov	29-Nov	720.00	0.0
B BUCK CAPITAL MGMT		DECK	S	36,818	37.85	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	DHR	SS	50,000	53.56	n/a	n/a	1,500.00	0.0
SASCO	033	DVN	B	5,050	53.02	n/a	21-Nov	176.75	0.0
SASCO	033	D	B	41,410	50.50	n/a	n/a	1,449.35	0.0
f JASON ERIC COHEN	FID	ESSX	B	770	3.24	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	EXPD	S	48,000	37.42	n/a	n/a	1,920.00	0.0
B BUCK CAPITAL MGMT		EXPR	B	50,000	14.66	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	EXP	S	3,000	54.67	n/a	n/a	120.00	0.0
f KELLY ELIZABETH CLIF	FID	FAUDX	S	59	10.11	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FILEFX	S	46	8.79	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FILEFX	S	46	8.79	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	S	57	8.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	20,000	20.71	n/a	28-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	S	20,000	20.71	n/a	28-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	2,000	20.70	n/a	28-Sep	100.00	0.0
f KELLY ELIZABETH CLIF	FID	FNSXX	B	1200	1.00	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FPCIX	B	54	11.06	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPCIX	B	45	11.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	54	11.06	n/a	n/a	0.00	0.0

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f JILL ROSENBERG	FID	FSGFX	S	100	12.96	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSGFX	S	77	12.96	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	S	100	12.96	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSHBX	S	70	8.60	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	S	93	8.60	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FUSOX	B	38	10.43	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	F	B	15,000	11.46	n/a	15-Nov	600.00	0.0
TUDOR INVESTORS	028	F	B	45,000	11.37	n/a	15-Nov	1,350.00	3.0
ß BUCK CAPITAL MGMT		GCO	S	50,906	60.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	60,000	60.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	60,000	60.62	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	GIII	S	27,901	38.31	n/a	n/a	1,116.04	0.0
ß BUCK CAPITAL MGMT		GIL	B	10,000	34.34	n/a	29-Nov	non-brg	2.0
ß BUCK CAPITAL MGMT		GIL	B	40,000	34.34	n/a	29-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	50,000	34.33	n/a	29-Nov	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	5,000	25.69	n/a	15-Nov	150.00	0.0
OZ MGMT	040	GM	S	115,021	25.99	n/a	15-Nov	3,450.63	0.0
SPARTAN	093	GM	B	9,900	25.68	n/a	15-Nov	297.00	3.0
ß BUCK CAPITAL MGMT		GNC	B	40,000	34.89	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	GNRC	B	500	33.07	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT (JMP)	029	GPS	SS	10,000	34.39	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	GVA	S	3,390	29.82	n/a	n/a	135.60	0.0
B BUCK CAPITAL MGMT		HBI	B	1,700	36.80	n/a	24-Oct	non-brg	1.0
HARVEST MGMT (JMP)	029	HD	B	15,000	64.23	n/a	16-Nov	600.00	0.0
PRIMECAP MGMT	084	HON	S	55,715	61.46	n/a	22-Oct	2,228.60	0.0
COLUMBUS CIRCLE	036	HTZ	B	9,300	15.82	n/a	n/a	372.00	0.0
LIONEYE CAPITAL	040	HTZ	S	42,500	15.86	n/a	n/a	2,125.00	5.0
T. ROWE PRICE	033	IP	B	353,300	37.11	n/a	25-Oct	10,599.00	0.0
VISIUM/BALY BOBBY	044	JNJ	SS	100,000	69.40	n/a	n/a	5,000.00	0.0
HARVEST MGMT (JMP)	029	JWN	SS	10,000	54.32	n/a	26-Nov	400.00	0.0
KINGDON ASSET MGMT	041	JWN	SS	40,000	54.51	n/a	26-Nov	1,600.00	0.0
BRIGADE CAPITAL MGMT	029	KSS	B	100,000	45.67	29-Nov	29-Nov	3,000.00	0.0
BRIGADE CAPITAL MGMT	029	KSS	S	25,000	46.54	29-Nov	29-Nov	750.00	0.0
COUGAR TRADING	044	KSS	S	5,000	47.06	29-Nov	29-Nov	250.00	0.0
J. GOLDMAN	028	KSS	B	10,000	46.01	29-Nov	29-Nov	400.00	0.0
TALPION LLC	040	KSS	B	10,000	46.85	29-Nov	29-Nov	400.00	0.0
SPARTAN	093	LEA	S	15,000	43.38	n/a	31-Oct	450.00	3.0
M&I FUNDS	047	MAT	S	7,858	37.00	n/a	n/a	314.32	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UNITED STATES PENSION	085	MKC	S	33,400	64.76	n/a	n/a	1,336.00	4.0
f MARC PAUL LUCHANSKY	FID	MLI	B	200	47.08	n/a	19-Nov	0.00	0.0
LOMAS CAPITAL	040	MRK	S	111,600	44.62	n/a	n/a	3,348.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	30.65	n/a	24-Oct	1,250.00	0.0
B BUCK CAPITAL MGMT		M	B	150,000	39.32	n/a	26-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	50,000	39.01	n/a	26-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	50,000	39.65	n/a	26-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	80,000	38.99	n/a	26-Nov	non-brg	4.0
DELTEC ASSET MGMT.	040	M	B	10,000	39.60	n/a	26-Nov	500.00	0.0
KINGDON ASSET MGMT	041	M	B	40,000	39.27	n/a	26-Nov	1,600.00	0.0
SIMMONS VENTURES	041	M	B	7,500	39.41	n/a	26-Nov	300.00	0.0
DAVIDSON KEMPNER ADVISOR	040	NXV	S	50,000	23.95	n/a	n/a	1,500.00	0.0
SASCO	033	OC	B	11,800	34.28	n/a	n/a	413.00	0.0
SCOPUS FUND	041	PAG	B	10,000	29.04	n/a	5-Nov	400.00	0.0
B BUCK CAPITAL MGMT		PCLN	SS	750	668.36	n/a	n/a	non-brg	1.0
SASCO	033	PKG	B	7,950	36.57	n/a	16-Oct	278.25	0.0
CRAMER ROSENTHAL	070	PLL	S	18,550	59.13	n/a	n/a	742.00	0.0
f JILL ROSENBERG	FID	PSFAX	S	61	9.91	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KELLY ELIZABETH CLIF	FID	PSFAX	S	50	9.91	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	PSFAX	S	61	9.91	n/a	n/a	0.00	0.0
	ARSENAL ASSET MANAGEMENT	028	ROK	SS	5,000	78.80	n/a	n/a	200.00	0.0
	BRIGADE CAPITAL MGMT	029	SAFM	S	14,000	48.20	n/a	n/a	420.00	0.0
	SASCO	033	SEE	B	18,900	16.87	n/a	2-Jun	661.50	0.0
B	BUCK CAPITAL MGMT		SKX	B	50,000	20.08	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SKX	B	50,000	20.08	n/a	n/a	non-brg	4.0
	NOMURA/ANGEL LANE PRINCIPAL	040	TGT	SS	25,000	62.17	n/a	29-Nov	750.00	3.0
	OZ MGMT	040	TGT	S	58,777	61.97	n/a	29-Nov	1,763.31	0.0
f	MARK DEVEREAUX KAICH	FID	TIVO	S	1500	11.11	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		TOD IM	C	3,050	119.83	n/a	n/a	non-brg	18.0
B	BUCK CAPITAL MGMT		TOD IM	C	3,050	119.83	n/a	n/a	non-brg	18.0
B	BUCK CAPITAL MGMT		ULTA 12 C95	SS	1,000	3.16	n/a	n/a	non-brg	300.0
B	BUCK CAPITAL MGMT		ULTA 12 C95	SS	1,000	3.16	n/a	n/a	non-brg	300.0
B	BUCK CAPITAL MGMT		XPO	S	2,800	16.44	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):									75,418.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/21	ADAGE CAPITAL MGMT	030	CHS	SS	166,556	18.39	n/a	5-Feb	4996.68 3.0
AO,CXL	11/21	ADAGE CAPITAL MGMT	030	CHS	SS	166,556	18.39	n/a	5-Feb	4996.68 3.0
AO,	11/28	PERIMETER	273	MASI	S	12,632	20.18	n/a	n/a	505.28 0.0
AO,CRT	11/27	PATTEN & PATTEN	025	QQQ	B	100	65.05	n/a	n/a	5.00 5.0
AO,CXL	11/27	PATTEN & PATTEN	025	QQQ	B	100	65.05	n/a	n/a	0.00 0.0
AO,CRT	11/28	GLG PARTNERS	034	TGT	B	31,443	62.83	n/a	29-Nov	943.29 0.0
AO,CXL	11/28	GLG PARTNERS	034	TGT	B	31,443	62.83	n/a	29-Nov	0.00 0.0
TOTAL (AO, CXL, CRT) :										1,453.57

TOTAL (Trade Date) :	75,418.98
TOTAL (AO, CXL, CRT) :	1,453.57

TOTAL (RUN DATE) / NFS :	76,872.55
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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 29-Nov.

DD, KSS

MRI Securities without Trade Activity on 29-Nov.

ETN

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)