



Daily Compliance Activity Report

Trade Date: 10/16/2012

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	S	15	1.48	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	3	1.79	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ACE	B	150	78.85	n/a	n/a	6.00	4.0
BESSEMER INVESTMENT	085	ACN	B	55	70.60	n/a	n/a	2.20	4.0
SYMPHONY ASSET	033	AES	C	34,560	10.97	n/a	n/a	1,036.80	0.0
PARKWEST	084	AH	SS	25,000	12.19	n/a	n/a	750.00	3.0
FRONTIER	029	ALTR	B	83,590	33.42	n/a	n/a	3,343.60	0.0
BALYASNY ASSET MGMT	044	ARCO	C	79,632	15.19	n/a	4-Oct	3,981.60	0.0
B BUCK CAPITAL MGMT		ARO	B	100,000	12.82	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ARO	B	70,000	12.81	n/a	n/a	non-brg	4.0
PERIMETER	273	ARRY	B	25,125	5.07	n/a	n/a	753.75	0.0
B BUCK CAPITAL MGMT		BTU	B	40,000	26.37	n/a	n/a	non-brg	4.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	6.53	n/a	n/a	1,500.00	0.0
IRIDIAN ASSET MGMT.	036	CCK	S	49,760	37.32	n/a	n/a	2,488.00	0.0
B BUCK CAPITAL MGMT		CLD	B	20,000	19.92	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		CLD	B	30,300	19.78	n/a	n/a	non-brg 0.8
	BAIRD INVESTMENT	047	CLR	B	2,100	79.11	n/a	n/a	105.00 0.0
	DELTEC ASSET MGMT.	040	COF	B	5,000	57.96	n/a	15-Oct	250.00 5.0
B	BUCK CAPITAL MGMT		COH	S	27,848	55.76	n/a	1-Aug	non-brg 4.0
B	BUCK CAPITAL MGMT		COH	S	38,192	55.93	n/a	1-Aug	non-brg 4.0
B	BUCK CAPITAL MGMT		COH	S	40,000	55.89	n/a	1-Aug	non-brg 4.0
f	WILLIAM WEINBERG	FID	CRMBW	B	37000	0.06	n/a	n/a	0.00 0.0
	RAINIER INV MGMT	035	CRZO	B	26,880	25.77	n/a	n/a	1,075.20 0.0
f	JONATHAN RICHARD HAR	FID	CVGI	S	250	7.13	n/a	n/a	0.00 0.0
	BESSEMER INVESTMENT	085	C	B	285	37.03	n/a	16-Oct	11.40 4.0
	CAISSE DEPOT PLACEMENT Q	295	C	B	20,000	37.09	n/a	16-Oct	800.00 4.0
B	BUCK CAPITAL MGMT		DG	B	20,000	49.84	n/a	5-Sep	non-brg 4.0
B	BUCK CAPITAL MGMT		DLTR	S	50,000	40.63	n/a	12-Oct	non-brg 4.0
	HARVEST MGMT (JMP)	029	DLTR	SS	15,000	41.22	n/a	12-Oct	600.00 4.0
	NOMURA/ANGEL LANE PRINCIPAL	040	DLTR	B	60,000	40.50	n/a	12-Oct	1,800.00 3.0
	BESSEMER INVESTMENT	085	DTE	B	80	60.75	n/a	n/a	3.20 4.0
	LOMAS CAPITAL	040	DTV	B	65,100	50.71	n/a	n/a	1,953.00 3.0
B	BUCK CAPITAL MGMT		EBAY	B	25,000	48.06	n/a	n/a	non-brg 4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		EBAY	B	25,000	48.06	n/a	n/a	non-brg 4.0
	RAINIER INV MGMT	035	ECL	B	96,860	68.63	n/a	12-Oct	3,874.40 0.0
	MACELLUM CAPITAL	086	EXPR	B	20,000	11.66	n/a	n/a	600.00 3.0
B	BUCK CAPITAL MGMT		FDO	B	30,000	67.38	n/a	4-Oct	non-brg 4.0
B	BUCK CAPITAL MGMT		FDO	B	30,000	67.38	n/a	4-Oct	non-brg 4.0
	HARVEST MGMT (JMP)	029	FDO	B	10,000	67.88	n/a	4-Oct	400.00 4.0
	ROYCE TRADING	031	FINL	B	20,087	21.12	n/a	28-Sep	1,004.35 0.0
	RAINIER INV MGMT	035	FIO	B	76,590	30.01	n/a	n/a	3,063.60 0.0
B	BUCK CAPITAL MGMT		FOSL	S	18,300	91.34	n/a	n/a	non-brg 4.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	B	10500	1.00	n/a	n/a	0.00 0.0
	BRONSON POINT	036	GE	B	100,000	22.64	n/a	n/a	3,000.00 0.0
	OZ MGMT	040	GS	SS	35,000	122.48	n/a	5-Oct	1,050.00 0.0
	ROXBURY CAPITAL MGMT	035	HBI	B	52,270	33.27	n/a	1-Aug	1,568.10 0.0
	BESSEMER INVESTMENT	085	IBM	B	75	210.38	n/a	n/a	3.00 4.0
	BALYASNY ASSET MGMT	044	IP	S	50,000	38.15	n/a	15-Oct	2,500.00 0.0
	J. GOLDMAN	028	IP	S	25,000	38.11	n/a	15-Oct	1,000.00 4.0
f	NILSA VAZQUEZ	FID	IVR	S	1000	20.26	n/a	n/a	0.00 0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Nilsa Vazquez		IVR	S	1000	26.27	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		JNY	S	30,000	13.72	n/a	26-Jul	non-brg	4.0
ß	BUCK CAPITAL MGMT		KORS	S	10,000	56.79	n/a	n/a	non-brg	1.0
	T. ROWE PRICE	033	KORS	B	41,700	56.57	n/a	n/a	1,668.00	0.0
	ADAGE CAPITAL MGMT	030	KO	B	60,000	37.73	n/a	16-Oct	1,800.00	3.0
ß	BUCK CAPITAL MGMT		KR	SS	25,000	24.41	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		KR	SS	25,000	24.41	n/a	n/a	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	041	KR	B	25,000	24.00	n/a	n/a	875.00	3.5
	CAERUS GLOBAL	041	KSS	S	36,569	52.39	n/a	5-Oct	1,462.76	4.0
	SCOPUS FUND	041	KSS	B	100,000	52.41	n/a	5-Oct	4,000.00	0.0
	SIMMONS VENTURES	041	KSS	B	5,000	52.29	n/a	5-Oct	200.00	4.0
ß	BUCK CAPITAL MGMT		LL	C	15,000	51.35	n/a	n/a	non-brg	4.0
	CORVEX CAPITAL	041	LNG	B	75,000	15.83	n/a	n/a	2,250.00	0.0
	JET CAPITAL/CHRIS	041	LNG	B	100,000	15.86	n/a	n/a	3,000.00	0.0
ß	BUCK CAPITAL MGMT		LOW	C	40,650	32.54	n/a	20-Aug	non-brg	4.0
	HOPLITE MGMT	025	LPX	C	22,317	14.46	n/a	15-Oct	892.68	0.0
	DISIPLINED GROWTH INV.	030	LTD	S	7,200	49.11	n/a	n/a	360.00	0.0
ß	BUCK CAPITAL MGMT		MAS	C	50,000	14.76	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	MCK	S	15	0.40	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSKIE CAPITAL MGMT	224	MUR	B	35,000	62.51	n/a	n/a	1,750.00	5.0
GLG PARTNERS	034	M	S	31,728	40.39	n/a	5-Oct	951.84	3.0
BESSEMER INVESTMENT	085	NEM	B	115	55.91	n/a	n/a	4.60	4.0
B BUCK CAPITAL MGMT		NKE	B	40,000	97.46	n/a	28-Sep	non-brg	4.0
CORNERSTONE	030	NKE	B	1,942	97.16	n/a	28-Sep	58.26	0.0
MERRILL ASSET/BLACKROCK	297	PACW	S	4,634	21.87	n/a	n/a	185.36	0.0
OHIO PERS	047	PG	B	11,000	69.01	n/a	1-Oct	330.00	0.0
CR INTRINIC INVESTMENT	044	PKG	B	25,000	36.09	16-Oct	16-Oct	875.00	3.5
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	36.22	16-Oct	16-Oct	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	S	50,580	36.49	16-Oct	16-Oct	2,529.00	0.0
B BUCK CAPITAL MGMT		P	SS	50,000	8.86	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		P	SS	50,000	8.86	n/a	n/a	non-brg	3.0
RIVERPARK CAPITAL	025	RATE	B	13,130	10.65	n/a	n/a	656.50	5.0
DISCIPLINED GROWTH INV.	030	RCL	S	5,900	31.11	n/a	n/a	295.00	0.0
CAISSE DEPOT PLACEMENT Q	295	RFMD	B	50,000	3.62	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		RLGY	B	16,000	35.73	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RLGY	B	166,000	35.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RLGY	B	34,000	35.73	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		RLGY	B	84,000	35.30	n/a	n/a	non-brg	4.0
CASLEROCK	040	RL	B	4,944	162.80	n/a	9-Aug	197.76	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	15,000	48.56	n/a	15-Oct	750.00	5.0
⚡ BUCK CAPITAL MGMT		SCSS 10 C35	SS	428	0.78	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		SCSS 10 C35	SS	428	0.78	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		SKX	S	40,000	17.56	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	50,000	17.56	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	55,000	17.52	n/a	n/a	non-brg	4.0
CASLEROCK	040	STX	B	20,500	28.87	n/a	n/a	820.00	4.0
⚡ BUCK CAPITAL MGMT		SUMR	S	13,825	1.43	n/a	n/a	non-brg	0.5
⚡ BUCK CAPITAL MGMT		SUMR	S	13,826	1.43	n/a	n/a	non-brg	0.5
⚡ BUCK CAPITAL MGMT		SWFT	S	40,000	9.76	n/a	n/a	non-brg	0.8
FIRST NEW YORK NICK	029	S	B	10,000	5.69	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	TGT	B	135	62.97	n/a	4-Oct	5.40	4.0
⚡ BUCK CAPITAL MGMT		TGT	C	87,800	62.59	n/a	4-Oct	non-brg	4.0
LOMAS CAPITAL	040	THO	B	60,000	37.38	n/a	n/a	1,800.00	3.0
⚡ BUCK CAPITAL MGMT		TITN	B	20,100	20.91	n/a	n/a	non-brg	1.0
f JASON ERIC COHEN	FID	TIVO	B	20	0.18	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARK DEVEREAUX KAICH	FID	TIVO	B	1100	5.03	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		TJX	S	20,000	43.06	n/a	5-Oct	non-brg	4.0
	DISCIPLINED GROWTH INV.	030	TJX	S	12,200	43.01	n/a	5-Oct	610.00	0.0
	BESSEMER INVESTMENT	085	TMO	B	100	60.42	n/a	n/a	4.00	4.0
ß	BUCK CAPITAL MGMT		ULTA	B	20,000	92.88	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ULTA	B	20,000	92.98	n/a	n/a	non-brg	4.0
f	JASON ERIC COHEN	FID	VFC	B	50	167.96	n/a	25-Jul	0.00	0.0
	ROYAL CAPITAL MGMT	070	VZ	SS	168,710	44.14	n/a	n/a	8,435.50	0.0
ß	BUCK CAPITAL MGMT		WWW	SS	10,000	42.59	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WWW	SS	40,000	42.58	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		WWW	SS	50,000	42.69	n/a	n/a	non-brg	4.0
	HOPLITE MGMT	025	WY	B	19,333	27.41	n/a	15-Oct	773.32	0.0
ß	BUCK CAPITAL MGMT		XPO	B	44,076	12.62	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		XPO	B	924	12.64	n/a	n/a	non-brg	1.0
	BESSEMER INVESTMENT	085	ZMH	B	215	64.01	n/a	n/a	8.60	4.0
ß	BUCK CAPITAL MGMT		ZUMZ	S	20,000	27.30	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ZUMZ	S	20,000	27.46	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):									80,071.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/11	OMEGA ADVISORS	041	S	B	13,600	5.69	n/a	n/a	340.00	2.5
AO,CRT	10/11	OMEGA ADVISORS	041	S	B	13,600	5.69	n/a	n/a	340.00	2.5
AO,CRT	10/15	COBALT	041	UAL	B	200,000	20.34	n/a	n/a	8000.00	4.0
AO,CXL	10/15	COBALT	041	UAL	B	200,000	20.34	n/a	n/a	8000.00	0.0
TOTAL (AO, CXL, CRT) :										0.00	

TOTAL (Trade Date) :	80,071.78
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	80,071.78
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	10/10	BUCK CAPITAL MGMT.	CRMB-P	B	565,611	2.21	n/a	n/a	0.00
CRT	10/10	BUCK CAPITAL MGMT	CRMB-P	B	565,611	2.21	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 16-Oct.

PKG

MRI Securities without Trade Activity on 16-Oct.

NONE

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)