



Daily Compliance Activity Report

Trade Date: 10/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AEO	B	20,000	21.62	n/a	2-Dec	non-brg	4.0
BRONSON POINT	036	AIG	S	25,000	35.35	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		ASNA	SS	30,000	19.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ASNA	SS	30,000	19.96	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	AUQ	B	900	7.14	n/a	n/a	27.00	0.0
B BUCK CAPITAL MGMT		AXL	B	43,000	11.66	n/a	3-Oct	non-brg	2.0
GEORGE WEISS	034	AXL	B	15,000	11.64	n/a	3-Oct	600.00	0.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	6.63	n/a	n/a	1,500.00	0.0
BRONSON POINT	036	CCE	B	25,000	31.48	n/a	n/a	750.00	0.0
CASTLEROCK	040	COF	B	23,697	58.75	n/a	12-Oct	947.88	4.0
NWQ INVESTMENT MGMT CO	084	COHR	B	2,100	45.02	n/a	n/a	63.00	0.0
BNP PARIBAS SEC	040	CTRP	B	25,000	18.42	n/a	n/a	750.00	3.0
f KAREN F LEDDY	FID	CVGI	S	2300	7.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	30,000	36.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	30,000	36.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	10,000	50.38	n/a	17-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DLTR	B	12,200	41.00	12-Oct	12-Oct	non-brg	4.0
S.A.C. CAP/ORENSTEIN	044	DOV	B	34,200	55.30	n/a	n/a	1,197.00	3.5
GALT INVESTMENT	041	EAT	B	30,000	33.15	n/a	4-Oct	1,500.00	5.0
NWQ INVESTMENT MGMT CO	084	FEIC	B	1,600	51.24	n/a	n/a	48.00	0.0
ROYCE TRADING	031	FINL	B	24,400	21.09	n/a	28-Sep	1,220.00	0.0
f ABRAM M CHAPPELL	FID	FOR	S	120	16.84	n/a	5-Oct	0.00	0.0
f KAREN F LEDDY	FID	FOR	S	90	16.52	n/a	5-Oct	0.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	3,900	16.67	n/a	5-Oct	136.50	0.0
B BUCK CAPITAL MGMT		GCO	B	20,000	58.52	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GCO	B	20,000	58.52	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GCO	B	8,600	58.77	n/a	n/a	non-brg	4.0
COBALT	041	GES	B	49,200	24.99	n/a	23-Aug	1,968.00	4.0
MACELLUM CAPITAL	086	GES	B	40,621	24.90	n/a	23-Aug	1,218.63	3.0
NWQ INVESTMENT MGMT CO	084	GFF	B	900	9.96	n/a	n/a	27.00	0.0
ASCEND PARTNERS	033	GIL	B	28,203	32.04	n/a	24-Sep	846.09	0.0
TIDE POINT CAPITAL	034	GPI	B	4,700	62.02	n/a	3-Oct	141.00	0.0
NOKOMIS PARTNERS	031	GSM	SS	40,000	15.39	n/a	n/a	1,200.00	3.0
BALYASNY ASSET MGMT	044	GT	B	25,000	12.29	n/a	n/a	1,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	HP	B	15,920	48.81	n/a	n/a	636.80	4.0
NWQ INVESTMENT MGMT CO	084	HRL	B	2,900	28.97	n/a	n/a	101.50	0.0
WATERFRONT CAP	028	ICON	B	16,400	18.43	n/a	n/a	656.00	0.0
⌘ BUCK CAPITAL MGMT		IP	S	50,000	37.16	n/a	11-Oct	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	37.16	n/a	11-Oct	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	25.96	n/a	13-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	25.96	n/a	13-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	26.25	n/a	13-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	B	50,000	26.25	n/a	13-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JIVE	B	50,000	13.14	n/a	n/a	non-brg	4.0
EATON VANCE MGMT	029	JNJ	S	5,000	68.48	n/a	n/a	150.00	0.0
CAERUS GLOBAL	041	KSS	B	50,000	51.50	n/a	5-Oct	2,000.00	4.0
HARVEST MGMT (JMP)	029	KSS	B	20,000	51.48	n/a	5-Oct	800.00	4.0
⌘ BUCK CAPITAL MGMT		LOW	C	30,000	31.35	n/a	20-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LOW	C	50,000	31.16	n/a	20-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LULU	C	9,200	73.72	n/a	10-Sep	non-brg	4.0
NEUBERGER BERMAN	036	MAC	S	33,000	58.73	n/a	n/a	1,320.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MAR	SS	25,000	38.43	n/a	13-Jun	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	029	MPC	S	25,000	53.68	n/a	n/a	750.00	0.0
f YANAI A FRANK	FID	MRTN	B	1000	17.89	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MWA	B	6200	4.73	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	M	B	70,700	39.18	n/a	5-Oct	2,121.00	3.0
f DAVID GEORGE BUCK	FID	NPSP	S	40	0.60	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL	070	OC	B	94,970	29.83	n/a	n/a	3,798.80	0.0
COBALT	041	OXY	S	77,500	82.67	n/a	n/a	3,100.00	4.0
WATERFRONT CAP	028	PENN	S	24,000	41.06	n/a	n/a	960.00	0.0
BRONSON POINT	036	PHM	C	25,000	15.65	n/a	n/a	750.00	0.0
EATON VANCE MGMT	029	PSX	S	25,000	43.70	n/a	n/a	750.00	0.0
ROTHSCHILD ASSET	040	PTEN	S	97,342	17.06	n/a	n/a	3,893.68	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ROST	B	25,000	61.94	n/a	5-Oct	750.00	3.0
B BUCK CAPITAL MGMT		SAND SS	C	120,000	13.25	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SAND SS	C	32,500	13.25	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SAND SS	C	32,500	13.25	n/a	n/a	non-brg	2.0
SENATOR INVESTMENT GROUP	036	SBAC	B	18,500	65.00	n/a	n/a	555.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		SKX	B	30,000	17.81	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	B	30,000	17.81	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	STE	B	33,840	35.05	n/a	n/a	1,353.60	0.0
SENATOR INVESTMENT GROUP	036	STZ	S	67,428	35.01	n/a	n/a	2,022.84	0.0
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	2,500	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	29,105	1.53	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SUMR	S	634	1.55	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SWN	B	14,000	35.83	n/a	11-Oct	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	TCBI	B	7,400	47.27	n/a	n/a	222.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TDG	SS	3,000	149.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TDG	SS	5,000	149.52	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TFM	B	15	56.15	n/a	n/a	0.00	0.0
J. GOLDMAN	028	TGT	B	50,000	61.87	n/a	4-Oct	2,000.00	4.0
B BUCK CAPITAL MGMT		TJX	S	20,000	43.41	n/a	5-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		TJX	S	20,000	43.41	n/a	5-Oct	non-brg	4.0
GALT INVESTMENT	041	TJX	B	25,000	42.84	n/a	5-Oct	1,250.00	5.0
LOMAS CAPITAL	040	UPS	S	10,820	72.01	n/a	n/a	324.60	3.0
ROTHSCHILD ASSET	040	URBN	B	17,325	36.65	n/a	n/a	693.00	0.0
NWQ INVESTMENT MGMT CO	084	VRTX	B	2,000	53.80	n/a	n/a	60.00	0.0
ADAGE CAPITAL MGMT	030	WBC	B	50,600	56.59	n/a	29-Aug	1,518.00	3.0
NWQ INVESTMENT MGMT CO	084	WCC	B	3,100	56.13	n/a	n/a	108.50	0.0
B BUCK CAPITAL MGMT		WDAY	B	1,380	28.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		WDAY	B	3,620	28.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		WDAY	S	1,380	47.35	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		WDAY	S	3,620	47.35	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		WNC	B	100,000	6.44	n/a	n/a	non-brg	3.0
f STEFFANIE CARMELA CA	FID	WNC	B	1000	6.36	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	WY	S	20,000	26.35	n/a	5-Oct	600.00	3.0

TOTAL (Trade Date):

51,510.42

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/11	TUDOR INVESTORS	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00 3.0
AO,CXL	10/11	TUDOR INVESTORS	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	51,510.42
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	51,510.42
--------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 12-Oct.

DLTR

MRI Securities without Trade Activity on 12-Oct.

ECL

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)