



Daily Compliance Activity Report

Trade Date: 10/09/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL 12 C645 C		50	29.60	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 12 C645 C		50	33.30	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 12 C645 SS		50	29.20	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 12 C645 SS		50	29.20	n/a	n/a	non-brg 300.0	
MICHAEL ALEXANDER SM	FID	AAPL	S	15	1.34	n/a	n/a	0.00	0.0
EDWARD W WHEELER	FID	ADT	S	625	38.24	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ALTR	B	13,335	32.65	n/a	n/a	533.40	0.0
ARSENAL ASSET MANAGEMENT	028	ALV	SS	15,000	62.10	n/a	23-Jul	600.00	0.0
COLUMBUS CAP MGMT LLC	084	AMCC	S	50,000	4.58	n/a	n/a	1,500.00	3.0
OHIO PERS	047	AVP	S	24,000	17.31	n/a	18-Sep	720.00	0.0
GEORGE WEISS	034	AXL	B	15,000	11.80	n/a	3-Oct	600.00	0.0
DELTEC ASSET MGMT.	040	BBBY	B	10,000	62.44	n/a	n/a	500.00	5.0
MICHAEL MARRANO	FID	CAMOX	S	264	17.83	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	CERN	B	22,400	75.97	n/a	n/a	672.00	0.0
JOSEPH CIRO AMATURO	FID	CLF	S	3533	42.85	n/a	n/a	0.00	0.0
FEDERATED INV/KAUFMAN	029	CPN	S	100,000	17.72	n/a	n/a	5,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEIGHTS CAPITAL	251	CSX	SS	41,645	21.35	n/a	n/a	1,665.80	0.0
f JONATHAN RICHARD HAR	FID	CVGI	S	1500	7.16	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DKS	B	10,000	50.97	n/a	17-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	B	10,000	45.84	n/a	16-Aug	non-brg	1.0
CASTLEROCK	040	DLTR	S	10,000	46.89	n/a	16-Aug	400.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	B	53,409	30.65	n/a	8-Oct	1,591.87	0.0
ROYCE TRADING	031	ENTG	B	20,000	8.14	n/a	n/a	1,000.00	0.0
HEIGHTS CAPITAL	251	EXP	B	9,270	48.14	n/a	n/a	370.80	0.0
f MICHAEL MARRANO	FID	FAGCX	S	73	43.49	n/a	n/a	0.00	0.0
HEIGHTS CAPITAL	251	FAST	SS	15,413	43.19	n/a	n/a	616.52	0.0
BALYASNY ASSET MGMT	044	FCX	S	5,084	41.40	n/a	n/a	254.20	0.0
f MICHAEL MARRANO	FID	FHIGX	B	100	13.56	n/a	n/a	0.00	0.0
ROYCE TRADING	031	FINL	B	42,500	21.91	n/a	28-Sep	2,125.00	0.0
MACELLUM CAPITAL	086	FL	B	18,700	35.28	n/a	29-Aug	561.00	3.0
B BUCK CAPITAL MGMT		GCO	B	10,000	61.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	16,000	61.85	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	GE	B	50,000	22.71	n/a	n/a	1,500.00	0.0
f MICHAEL MARRANO	FID	GFAFX	S	126	33.57	n/a	n/a	0.00	0.0
HEIGHTS CAPITAL	251	GGG	SS	13,694	48.41	n/a	n/a	547.76	0.0
f JOSEPH CIRO AMATURO	FID	GLUU	B	5000	3.44	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	GLW	S	3,500	13.27	n/a	4-Oct	105.00	3.0
BRONSON POINT	036	GM	B	25,000	24.31	n/a	3-Oct	750.00	0.0
BALYASNY ASSET MGMT	044	GT	S	50,000	12.50	n/a	n/a	2,500.00	0.0
HEIGHTS CAPITAL	251	HXL	SS	22,047	24.87	n/a	24-Jul	881.88	0.0
BNP PARIBAS SEC	040	IP	B	30,000	36.58	n/a	24-Sep	900.00	3.0
HEIGHTS CAPITAL	251	IR	SS	14,789	44.73	n/a	30-Aug	591.56	0.0
f MICHAEL MARRANO	FID	IWD	B	33	72.93	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	IWF	B	112	66.53	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	JOY	S	5,000	57.89	n/a	11-Jul	150.00	3.0
B BUCK CAPITAL MGMT		KORS	S	20,000	51.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	S	40,000	52.75	n/a	n/a	non-brg	4.0
COLUMBUS CAP MGMT LLC	084	KTOS	S	20,000	5.61	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LOW	C	50,000	31.16	n/a	20-Aug	non-brg	0.8
OMEGA ADVISORS	041	LVS	B	45,000	43.80	n/a	13-Jun	1,800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MAR	B	25,000	38.78	n/a	13-Jun	875.00	3.5
TUDOR INVESTORS	028	MHK	B	3,000	79.68	n/a	n/a	90.00	3.0
CATAPULT	040	MS	B	40,000	17.54	n/a	5-Oct	1,600.00	0.0
HEIGHTS CAPITAL	251	MTW	SS	15,928	13.77	n/a	11-Jul	637.12	0.0
TUDOR INVESTORS	028	MTW	SS	10,000	14.02	n/a	11-Jul	300.00	3.0
f DAVID GEORGE BUCK	FID	MYN	B	3000	14.94	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MYN	B	1000	14.94	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	NBR	SS	64,000	14.67	n/a	n/a	2,560.00	4.0
HEIGHTS CAPITAL	251	NDSN	B	8,975	57.94	n/a	n/a	359.00	0.0
CAPITAL RESEARCH GROUP		296 NKE	B	212,500	95.10		n/a 28-Sep	7,437.50	0.0
OHIO PERS	047	NWL	B	21,200	19.52	n/a	n/a	636.00	0.0
HEIGHTS CAPITAL	251	ODFL	B	12,334	29.32	n/a	n/a	493.36	0.0
ROSEDALE CAPITAL	046	PBCT	B	20,000	12.29	n/a	19-Jul	800.00	4.0
NEUBERGER BERMAN	036	PGR	B	20,710	21.83	n/a	n/a	828.40	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		PII	B	10,000	81.09	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		PII	B	10,000	81.09	n/a	n/a	non-brg	4.0
	M&I FUNDS	047	PM	S	6,340	92.49	n/a	n/a	253.60	4.0
	BALYASNY ASSET MGMT	044	PNR	S	50,000	45.14	n/a	n/a	2,500.00	0.0
f	EDWARD W WHEELER	FID	PNR	S	299	45.63	n/a	n/a	0.00	0.0
	HEIGHTS CAPITAL	251	ROK	B	8,041	70.02	n/a	n/a	321.64	0.0
	NEUBERGER BERMAN	036	SCHW	B	12,410	13.02	n/a	n/a	496.40	0.0
	HEIGHTS CAPITAL	251	SPW	B	8,915	67.19	n/a	n/a	356.60	0.0
	HEIGHTS CAPITAL	251	SWK	B	7,866	73.18	n/a	n/a	314.64	0.0
	HEIGHTS CAPITAL	251	TAL	SS	15,153	34.20	n/a	n/a	606.12	0.0
	HEIGHTS CAPITAL	251	TDG	B	4,856	146.20	n/a	n/a	194.24	0.0
	HEIGHTS CAPITAL	251	TEX	B	8,936	22.98	n/a	n/a	357.44	0.0
	TUDOR INVESTORS	028	TEX	B	5,000	23.38	n/a	n/a	150.00	3.0
B	BUCK CAPITAL MGMT		TITN	B	20,000	21.31	n/a	n/a	non-brg	1.0
f	KEVIN MICHAEL O'GORM	FID	TLT	B	10	2.85	n/a	n/a	0.00	0.0
f	MICHAEL MARRANO	FID	TPINK	B	70	13.41	n/a	n/a	0.00	0.0
	TUDOR INVESTORS	028	TRW	B	10,000	47.78	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TXN	B	16,330	27.36	n/a	n/a	653.20	0.0
HEIGHTS CAPITAL	251	UNP	B	8,404	122.09	n/a	n/a	336.16	0.0
TUDOR INVESTORS	028	VAL	B	4,000	57.61	n/a	n/a	120.00	3.0
PERIMETER	273	VLTR	S	21,948	20.07	n/a	n/a	877.92	0.0
DENVER INST. ADV	046	VRA	B	41,000	25.70	n/a	n/a	1,640.00	0.0
HEIGHTS CAPITAL	251	WERN	SS	20,202	22.25	n/a	n/a	808.08	0.0
HEIGHTS CAPITAL	251	WLK	SS	6,685	74.46	n/a	n/a	267.40	0.0
Ⓐ BUCK CAPITAL MGMT		WWW	C	101,878	44.22	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		WWW	C	77,622	44.22	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	30,000	63.40	n/a	n/a	900.00	0.0
TOTAL (Trade Date):								57,106.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/08	MERRILL ASSET/BLACKROCK	297	HCC	B	54,700	34.94	n/a	n/a	2188.00 0.0
AO,CXL	09/04	LISTED ERR	099	M	B	6,010	40.49	n/a	5-Oct	0.00 0.0
AO,CXL	09/04	LISTED ERR	099	M	SS	6,010	40.53	n/a	5-Oct	0.00 0.0
AO,CXL	10/08	SAC CHICAGO ANDREW	031	MAS	SS	20,000	15.45	n/a	n/a	700.00 3.5
AO,CRT	10/08	SAC CHICAGO ANDREW	031	MAS	SS	20,000	15.45	n/a	n/a	700.00 3.5

TOTAL (AO, CXL, CRT) :	2,188.00
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TOTAL (Trade Date) :	57,106.61
TOTAL (AO, CXL, CRT) :	2,188.00

TOTAL (RUN DATE) / NFS :	59,294.61
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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 9-Oct.
NONE

MRI Securities without Trade Activity on 9-Oct.
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)