



Daily Compliance Activity Report

Trade Date: 11/26/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	085	AAPL	S	600	588.33	n/a	n/a	30.00	0.0
CENTURION PARTNERS	041	ADT	S	12,000	42.83	n/a	n/a	480.00	4.0
f EDWARD W WHEELER	FID	ADT	S	1922	43.13	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ADT	S	5,000	42.90	n/a	n/a	150.00	3.0
ROYCE TRADING	031	AEO	B	34,000	19.49	n/a	2-Dec	1,700.00	0.0
SIMMONS VENTURES	041	AEO	SS	10,000	19.59	n/a	2-Dec	500.00	5.0
MERRILL ASSET/BLACKROCK	297	AFG	B	8,600	39.36	n/a	n/a	344.00	0.0
DSM CAPITAL PARTNERS	085	AGN	S	2,100	91.48	n/a	26-Nov	105.00	0.0
B BUCK CAPITAL MGMT		ANF	B	20,000	44.62	n/a	15-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	20,000	33.08	n/a	n/a	non-brg	4.0
GLENHILL CAPITAL	036	ANN	SS	6,600	33.28	n/a	n/a	330.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AOL	S	36,891	36.67	n/a	n/a	1,106.73	0.0
f CHRISTOPHER ROBERT C	FID	AONEQ	S	1000	0.09	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	APA	B	2,500	76.38	n/a	21-Nov	100.00	0.0
SIMMONS VENTURES	041	ARO	B	20,000	13.60	n/a	n/a	800.00	4.0
SIMMONS VENTURES	041	ARO	S	15,000	13.65	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	297	AWH	B	5,300	80.35	n/a	n/a	212.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	BEAM	S	7,755	55.33	n/a	n/a	310.20	0.0
IRIDIAN ASSET MGMT.	036	BLL	S	109,530	44.69	n/a	n/a	5,476.50	0.0
CAPITAL RESEARCH GROUP		296 BMY	B	60,000	32.47		n/a	n/a	2,100.00 0.0
f KAREN F LEDDY	FID	BONT	B	2200	11.49	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BUFHX	S	660	11.36	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BUFTX	B	456	16.43	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	CAH	B	5,000	39.89	n/a	n/a	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CAKE	SS	40,000	34.66	n/a	25-Oct	1,200.00	3.0
f KAREN F LEDDY	FID	CBK	B	2000	3.39	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	085	CELG	S	3,500	78.70	n/a	n/a	175.00	0.0
STELLIAM INV ADV	034	CE	B	5,000	39.64	n/a	20-May	200.00	0.0
KLEINHEINZ CAP PART	031	CLX	B	50,000	74.56	n/a	22-Oct	2,500.00	5.0
f DAVID GEORGE BUCK	FID	CMG	B	10	15.30	n/a	19-Oct	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	30,000	57.31	n/a	5-Nov	non-brg	4.0
DSM CAPITAL PARTNERS	085	CTSH	S	1,300	65.80	n/a	n/a	65.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	DAL	B	5,000	9.81	n/a	26-Nov	100.00	0.0
TUDOR INVESTORS	028	DCI	SS	1,420	33.78	n/a	n/a	42.60	3.0
B BUCK CAPITAL MGMT		DECK	S	20,000	35.07	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	DECK	S	100	35.17	n/a	n/a	0.00	0.0
COBALT	041	DECK	B	50,000	34.87	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DG	S	20,000	49.22	n/a	20-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	20,000	49.22	n/a	20-Nov	non-brg	4.0
DSM CAPITAL PARTNERS	085	DG	S	3,700	49.28	n/a	20-Nov	185.00	0.0
DSM CAPITAL PARTNERS	085	DISCA	S	2,100	57.64	n/a	n/a	105.00	0.0
DSM CAPITAL PARTNERS	085	DIS	S	2,000	49.03	n/a	n/a	100.00	0.0
TUDOR INVESTORS	028	DLPH	S	5,000	33.50	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	DOW	B	2000	29.25	n/a	24-Oct	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	SS	10,000	53.17	n/a	26-Nov	300.00	3.0
B BUCK CAPITAL MGMT		DTGF 1 P85	S	400	0.01	n/a	n/a	non-brg	100.0
DSM CAPITAL PARTNERS	085	EBAY	S	3,900	51.46	n/a	n/a	195.00	0.0
DSM CAPITAL PARTNERS	085	ECL	S	2,100	69.54	n/a	31-Oct	105.00	0.0
CAMBIAR CAP	046	ETN	S	50,000	51.59	n/a	31-Oct	2,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ETN	B	4,000	51.45	n/a	31-Oct	120.00	3.0
ARCHON CAPITAL	035	FB	S	60,000	25.42	n/a	n/a	1,800.00	3.0
DSM CAPITAL PARTNERS	085	FDO	S	1,300	69.37	n/a	20-Nov	65.00	0.0
B BUCK CAPITAL MGMT		FINL	S	50,000	20.71	n/a	28-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	S	50,000	20.71	n/a	28-Sep	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	10000	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	20,000	59.92	n/a	n/a	non-brg	4.0
DSM CAPITAL PARTNERS	085	GE	S	10,100	20.98	n/a	n/a	505.00	0.0
TUDOR INVESTORS	028	GE	S	25,000	20.98	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	GGC	SS	5,000	45.28	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	GILD	S	2000	75.01	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	GLDD	B	1200	8.46	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	GM	B	6,500	25.02	n/a	15-Nov	195.00	0.0
DSM CAPITAL PARTNERS	085	GOOG	S	200	662.30	n/a	n/a	10.00	0.0
SCOPUS FUND	041	GPI	B	25,000	60.22	n/a	15-Nov	1,000.00	0.0
B BUCK CAPITAL MGMT		HCA	B	16,200	31.06	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HON	B	2,500	60.62	n/a	22-Oct	100.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	HRL	B	5,000	30.54	n/a	n/a	200.00	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	29.19	n/a	26-Nov	400.00	4.0
DSM CAPITAL PARTNERS	085	ISRG	S	300	533.12	n/a	n/a	15.00	0.0
STELLIAM INV ADV	034	JBLU	B	15,000	5.03	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	JCI	B	10,000	26.93	n/a	31-Oct	300.00	3.0
PZENA INV ADV	044	JCP	B	70,441	17.20	n/a	12-Nov	2,465.44	0.0
VISIUM/BALY BOBBY	044	JNJ	SS	100,000	68.93	n/a	n/a	5,000.00	0.0
B BUCK CAPITAL MGMT		JWN	B	20,000	54.01	n/a	26-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	B	50,000	53.94	n/a	26-Nov	non-brg	4.0
SIMMONS VENTURES	041	JWN	B	10,000	55.18	n/a	26-Nov	400.00	4.0
f EDWARD W WHEELER	FID	KEM	S	10000	4.08	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	25,000	51.87	n/a	26-Nov	750.00	3.0
TUDOR INVESTORS	028	LECO	SS	5,000	45.81	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	LEN	B	5,000	38.12	n/a	n/a	150.00	3.0
f DOUGLAS ROGERS	FID	LGND	B	44	19.53	n/a	n/a	0.00	0.0
GLG PARTNERS	034	LOW	B	44,018	34.79	n/a	19-Nov	1,320.54	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	LTD	SS	10,000	49.33	n/a	n/a	400.00	4.0
DSM CAPITAL PARTNERS	085	LVS	S	3,400	44.00	n/a	13-Jun	170.00	0.0
B BUCK CAPITAL MGMT		MCD	SS	30,000	85.95	n/a	26-Nov	non-brg	4.0
DSM CAPITAL PARTNERS	085	MON	S	2,300	90.85	n/a	8-Oct	115.00	0.0
STELLIAM INV ADV	034	MU	B	15,000	5.74	n/a	n/a	300.00	0.0
GLG PARTNERS	034	M	B	31,444	39.90	n/a	26-Nov	943.32	0.0
KLEINHEINZ CAP PART	031	M	S	40,000	40.20	n/a	26-Nov	2,000.00	5.0
LISTED ERR	099	M	B	31,444	39.90	n/a	26-Nov	0.00	0.0
ACK ASSET	028	NCS	B	10,000	12.53	n/a	n/a	300.00	0.0
DSM CAPITAL PARTNERS	085	PCP	S	700	178.14	n/a	16-Nov	35.00	0.0
f JOSEPH CIRO AMATURO	FID	PER	B	2000	17.60	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	PFE	B	5,000	24.46	n/a	n/a	200.00	0.0
TUDOR INVESTORS	028	PH	SS	5,000	81.06	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	PM	S	900	89.70	n/a	n/a	45.00	0.0
B BUCK CAPITAL MGMT		PVH	S	10,000	111.30	n/a	1-Nov	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PWE	S	450	10.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTY FRANK	FID	PXP	B	440	34.16	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RH	S	6,200	38.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	S	6,200	38.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	S	6,200	38.12	n/a	n/a	non-brg	4.0
DSM CAPITAL PARTNERS	085	SBMR	S	2,800	45.05	n/a	n/a	140.00	0.0
DSM CAPITAL PARTNERS	085	SBUX	S	2,500	50.80	n/a	26-Nov	125.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		SCS	B		79,815	11.14	n/a	n/a	2,394.45 0.0
DSM CAPITAL PARTNERS	085	SHPG	S	1,000	85.37	n/a	26-Nov	50.00	0.0
RATAN CAPITAL MGMT LP	041	SIX	B	604	56.22	n/a	n/a	18.12	3.0
DSM CAPITAL PARTNERS	085	SLB	S	1,500	70.32	n/a	n/a	75.00	0.0
f EDWARD W WHEELER	FID	SPNC	B	150	2.21	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SPNC	S	5000	14.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	STWD	B	1000	22.62	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	STX	B	5,000	27.19	n/a	n/a	200.00	0.0
TUDOR INVESTORS	028	SWC	B	15,000	11.37	n/a	n/a	450.00	3.0
TUDOR INVESTORS	028	TCK	B	5,000	32.45	n/a	n/a	150.00	3.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	16.41	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f GAVIN N CADWALLADER	FID	TGT	B	50	62.79	n/a	15-Nov	0.00	0.0
B BUCK CAPITAL MGMT		THI	C	15,000	46.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		THI	C	15,000	46.66	n/a	n/a	non-brg	4.0
CORNERSTONE	030	TIF	S	43,094	62.61	n/a	n/a	1,292.82	0.0
DSM CAPITAL PARTNERS	085	TJX	S	3,000	43.33	n/a	26-Nov	150.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		TKR	B	5,000	40.73		n/a	n/a	200.00 4.0
DSM CAPITAL PARTNERS	085	UNP	S	1,000	121.81	n/a	n/a	50.00	0.0
B BUCK CAPITAL MGMT		URBN	B	30,000	38.18	n/a	n/a	non-brg	4.0
DSM CAPITAL PARTNERS	085	V	S	1,100	146.86	n/a	16-Nov	55.00	0.0
TUDOR INVESTORS	028	XHB	SS	10,000	26.05	n/a	n/a	300.00	3.0
f ANTHONY SUTERA	FID	XPO	S	1000	15.80	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	YRCW	S	1	7.26	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	YUM	B	1000	73.43	n/a	26-Nov	0.00	0.0
DSM CAPITAL PARTNERS	085	YUM	S	2,200	73.41	n/a	26-Nov	110.00	0.0
TOTAL (Trade Date):								50,931.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/23	GALT INVESTMENT	041	EXPR	S	25,000	11.90	n/a	n/a	1000.00 4.0
AO,CXL	11/23	GALT INVESTMENT	041	EXPR	S	25,000	11.90	n/a	n/a	1250.00 5.0
AO,CRT	11/21	HIGHLAND CAPITAL/PYXIS	031	INTC	B	45,700	19.39	n/a	n/a	1828.00 4.0
AO,CXL	11/21	HIGHLAND CAPITAL/PYXIS	031	INTC	B	45,700	19.39	n/a	n/a	1828.00 0.0
TOTAL (AO, CXL, CRT) :										-250.00

TOTAL (Trade Date) :	50,931.72
TOTAL (AO, CXL, CRT) :	-250.00

TOTAL (RUN DATE) / NFS :	50,681.72
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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 26-Nov.
NONE

MRI Securities without Trade Activity on 26-Nov.
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)