



# Daily Compliance Activity Report

Trade Date: 11/16/2012

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	S	5,000	512.35	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AAPL	S	5,000	512.35	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	AAPL	S	20	519.20	n/a	n/a	0.00	0.0
MARC PAUL LUCHANSKY	FID	AAPL	S	25	518.06	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AAPL	B	50	523.19	n/a	n/a	2.50	5.0
BUCK CAPITAL MGMT		ANF	B	20,000	41.02	n/a	15-Nov	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	20,000	41.02	n/a	15-Nov	non-brg	4.0
KLEINHEINZ CAP PART	031	ANW	S	50,000	4.95	n/a	n/a	2,500.00	0.0
STRONG/WELLS CAP ANN F	047	ANW	B	39,366	4.95	n/a	n/a	1,180.98	0.0
KAREN F LEDDY	FID	ARCO	S	900	10.79	n/a	5-Nov	0.00	0.0
MICHAEL ALEXANDER SM	FID	AXL	B	30	0.62	n/a	2-Nov	0.00	0.0
MICHAEL ALEXANDER SM	FID	AXL	B	75	0.62	n/a	2-Nov	0.00	0.0
WOOSTER CAPITAL	035	AXL	B	25,000	9.45	n/a	2-Nov	750.00	3.0
BRIAN P CLIFFORD	FID	BBY	S	1000	14.20	n/a	n/a	0.00	0.0
THOMAS MACTAGGART LE	FID	BONT	B	400	10.39	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BYI	S	20,000	44.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COH	B	50,000	54.52	n/a	5-Nov	non-brg	4.0
MICHAEL ALEXANDER SM	FID	COH	S	2	0.05	n/a	5-Nov	0.00	0.0
CHART WELL ADV	028	CROX	S	177,625	12.02	n/a	n/a	7,105.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	CSCO	B	1,600	17.90	n/a	14-Nov	80.00	5.0
PATTEN & PATTEN	025	CVX	S	375	102.10	n/a	n/a	18.75	5.0
PATTEN & PATTEN	025	DVN	S	190	52.31	n/a	15-Nov	9.50	5.0
⌘ BUCK CAPITAL MGMT		EBAY	B	50,000	47.18	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EBAY	B	50,000	47.18	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	ETH	B	5,000	27.81	n/a	n/a	150.00	3.0
MACELLUM CAPITAL	086	ETH	SS	5,000	27.46	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		EXPR	B	50,000	10.84	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	50,000	66.40	n/a	4-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	50,000	66.40	n/a	4-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FINL	B	20,000	20.10	n/a	28-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FINL	B	25,000	20.07	n/a	28-Sep	non-brg	4.0
ASCEND PARTNERS	033	FL	S	43,093	33.70	n/a	16-Nov	1,292.79	0.0
⌘ BUCK CAPITAL MGMT		FL	B	100,000	33.30	n/a	16-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	50,000	33.33	n/a	16-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	50,000	33.37	n/a	16-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	50,000	33.82	n/a	16-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	50,000	33.82	n/a	16-Nov	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	FL	S	45,500	32.70	n/a	16-Nov	1,365.00	0.0
MACELLUM CAPITAL	086	FL	SS	11,813	33.43	n/a	16-Nov	354.39	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	18,000	34.01	n/a	16-Nov	540.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	FNP	B	101,800	11.08	n/a	n/a	3,054.00	3.0
⚡ BUCK CAPITAL MGMT		FOSL	B	50,000	82.04	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	50,000	82.06	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	FOSL	B	14,000	82.10	n/a	n/a	420.00	3.0
⚡ BUCK CAPITAL MGMT		FRAN	SS	50,000	24.59	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	F	SS	70,000	10.45	n/a	15-Nov	2,100.00	3.0
f JOHN M HICKEY	FID	GEVO	S	3000	1.41	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GIL	S	20,000	31.91	n/a	18-Oct	non-brg	4.0
BNP PARIBAS SEC	040	GM	B	40,000	23.82	n/a	15-Nov	1,200.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	GM		B	25,000	23.86		n/a 15-Nov	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	C	12,500	23.77	n/a	15-Nov	375.00	0.0
OZ MGMT	040	GM	B	100,000	23.64	n/a	15-Nov	3,000.00	0.0
OZ MGMT	040	GM	S	149,037	23.78	n/a	15-Nov	4,471.11	0.0
PATTEN & PATTEN	025	GOOG	B	50	647.71	n/a	n/a	2.50	5.0
MERRILL ASSET/BLACKROCK	297	GS	S	20,200	115.80	n/a	8-Nov	808.00	0.0
⚡ BUCK CAPITAL MGMT		HAIN	S	10,000	58.74	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		HLF	S	20,000	45.02	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	HON		B	5,000	59.10		n/a 22-Oct	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>HTLD</b>	<b>B</b>	<b>370</b>	<b>13.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	IP	B	179,065	33.86	n/a	25-Oct	5,371.95	0.0
TUDOR INVESTORS	028	IP	SS	10,000	33.86	n/a	25-Oct	300.00	1.5
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>ISLE</b>	<b>B</b>	<b>400</b>	<b>5.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWF</b>	<b>SS</b>	<b>60,000</b>	<b>62.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
DAVIDSON KEMPNER ADVISOR	040	IYR	SS	10,000	61.42	n/a	n/a	300.00	0.0
BRANDWINE	028	JNY	B	18,116	10.79	n/a	25-Oct	724.64	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>50,000</b>	<b>50.03</b>	<b>n/a</b>	<b>14-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>50,000</b>	<b>50.12</b>	<b>n/a</b>	<b>14-Nov</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	LULU	B	40,000	67.83	n/a	10-Sep	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MFRM</b>	<b>S</b>	<b>10,000</b>	<b>27.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MFRM</b>	<b>S</b>	<b>40,922</b>	<b>26.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	MIC	B	700	40.97	n/a	n/a	35.00	5.0
SCOPUS FUND	041	M	S	50,000	40.06	n/a	8-Nov	2,000.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>NFLX</b>	<b>B</b>	<b>2</b>	<b>4.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN 11 C600</b>	<b>S</b>	<b>11</b>	<b>17.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>SS</b>	<b>2,000</b>	<b>613.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PCLN	SS	2,000	613.34	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PCP	B	2,800	173.70	n/a	16-Nov	non-brg	1.0
BUCK CAPITAL MGMT		PII	B	10,000	80.64	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PLCE	B	20,000	47.37	n/a	15-Nov	non-brg	4.0
CASTLEROCK	040	PLCE	S	5,000	46.18	n/a	15-Nov	200.00	4.0
BUCK CAPITAL MGMT		PVH	S	10,000	108.10	n/a	1-Nov	non-brg	4.0
CRAMER ROSENTHAL	070	PVH	B	49,700	108.46	n/a	1-Nov	1,988.00	0.0
PATTEN & PATTEN	025	RHT	B	100	48.41	n/a	n/a	5.00	5.0
PATRICK O'GRADY	FID	RIMM	S	140	8.71	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	RJF	S	33,300	36.81	n/a	n/a	1,332.00	0.0
BUCK CAPITAL MGMT		RKUS	B	5,000	15.00	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		RKUS	S	5,000	12.25	n/a	n/a	non-brg	2.5
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	75,000	48.78	n/a	15-Nov	2,250.00	3.0
BUCK CAPITAL MGMT		SCSS	B	10,000	25.48	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SCSS	B	40,000	25.39	n/a	n/a	non-brg	4.0
OMEGA ADVISORS	041	SD	B	872,000	5.25	n/a	n/a	26,160.00	3.0
BUCK CAPITAL MGMT		SHOO	B	30,000	41.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SHOO	B	30,000	41.67	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKX	B	34,300	15.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	B	34,300	15.61	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	C	22,000	136.33	n/a	n/a	1,100.00	0.0
PATTEN & PATTEN	025	SRZ	S	1,000	14.29	n/a	n/a	50.00	5.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	50,000	33.98	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		SWFT	B	65,000	8.14	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	SWFT	B	5000	8.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TDG	SS	10,000	126.83	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		TDG	SS	10,000	126.83	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		TDG	SS	4,000	126.83	n/a	n/a	non-brg	0.8
OZ MGMT	040	TGT	B	25,000	62.39	n/a	15-Nov	750.00	0.0
B BUCK CAPITAL MGMT		THI	C	30,000	46.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		THI	C	30,000	46.05	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	TJX	SS	20,000	42.44	n/a	14-Nov	600.00	3.0
LOMAS CAPITAL	040	ULTA	S	15,500	88.03	n/a	n/a	465.00	3.0
MACELLUM CAPITAL	086	ULTA	B	8,640	87.88	n/a	n/a	259.20	3.0
B BUCK CAPITAL MGMT		URBN	B	50,000	35.05	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	UTX	B	400	75.09	n/a	n/a	20.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> CICYLY S BACKUS	<b>FID</b>	<b>WRC</b>	<b>S</b>	<b>1000</b>	<b>70.60</b>	<b>n/a</b>	<b>6-Nov</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	WY	B	5,000	25.08	n/a	16-Nov	150.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>XLY</b>	<b>SS</b>	<b>45,000</b>	<b>44.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>XPO</b>	<b>S</b>	<b>6575</b>	<b>13.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>XRT</b>	<b>SS</b>	<b>35,000</b>	<b>59.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
LOMAS CAPITAL	040	YUM	B	20,000	71.36	n/a	11-Oct	600.00	3.0
<b>f</b> PATRICK O'GRADY	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>500</b>	<b>3.50</b>	<b>n/a</b>	<b>10-May</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>80,040.31</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/15	PERIMETER	273	ENDP	B	4,432	27.33	n/a	16-Nov	177.28 0.0
AO,	11/15	COLUMBUS CIRCLE	036	MM	B	3,328	13.02	n/a	n/a	133.12 0.0
AO,CRT	11/15	METROPOLITAN CAPITAL	044	PLCE	B	6,600	49.48	n/a	15-Nov	330.00 0.0
AO,CXL	11/15	METROPOLITAN CAPITAL	044	PLCE	B	6,600	49.53	n/a	15-Nov	330.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>310.40</b>

TOTAL (Trade Date) :	80,040.31
TOTAL (AO, CXL, CRT) :	310.40

<b>TOTAL (RUN DATE) / NFS:</b>	<b>80,350.71</b>
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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 16-Nov.  
NONE

MRI Securities without Trade Activity on 16-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)**