



Daily Compliance Activity Report

Trade Date: 10/25/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ADM	S	40,000	26.94	n/a	22-Oct	1,200.00	3.0
B BUCK CAPITAL MGMT		AEO	B	30,000	20.83	n/a	2-Dec	non-brg	4.0
KLEINHEINZ CAP PART	031	ANW	B	28,000	5.61	n/a	n/a	1,400.00	5.0
GEORGE WEISS	034	AXL	S	5,000	11.63	n/a	18-Oct	200.00	0.0
SANDLER O'NEILL ASSET	031	BAC	B	25,000	9.40	n/a	18-Oct	750.00	3.0
f SARAH ELIZABETH GRON	FID	BAC	S	100	9.26	n/a	18-Oct	0.00	0.0
f TIMOTHY MICHAEL GRON	FID	BAC	S	100	9.26	n/a	18-Oct	0.00	0.0
BALYASNY ASSET MGMT	044	BC	S	30,100	22.00	n/a	n/a	1,505.00	0.0
B BUCK CAPITAL MGMT		BIG	SS	28,400	29.30	n/a	23-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	SS	28,400	29.30	n/a	23-Aug	non-brg	4.0
NEUBERGER BERMAN	036	BYI	B	12,700	47.46	n/a	n/a	508.00	0.0
MACELLUM CAPITAL	086	CAB	B	21,020	46.37	n/a	n/a	630.60	3.0
J. GOLDMAN	028	CAT	B	50,000	82.99	n/a	11-Jul	2,000.00	4.0
NEWLAND CAPITAL MGT	025	CAT	S	15,000	82.90	n/a	11-Jul	600.00	4.0
B BUCK CAPITAL MGMT		CROX	B	150,000	13.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	70,000	12.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	70,000	12.97	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	CROX	S	82,300	12.93	n/a	n/a	3,292.00	4.0
COLUMBUS CIRCLE	036	CSGP	B	1,300	82.05	n/a	n/a	52.00	0.0
⌘ BUCK CAPITAL MGMT		CSTR	C	25,000	41.17	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CSTR	C	50,000	41.17	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CSTR	SS	25,000	43.14	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CSTR	SS	50,000	43.14	n/a	n/a	non-brg	4.0
ACK ASSET	028	DAN	B	32,121	13.17	n/a	18-Oct	963.63	0.0
BRIGADE CAPITAL MGMT	029	DAN	B	100,000	13.15	n/a	18-Oct	3,000.00	0.0
⌘ BUCK CAPITAL MGMT		DECK	S	40,000	37.44	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		DECK	S	40,000	37.44	n/a	n/a	non-brg	2.5
BTG PACTUAL	040	DG	B	15,000	47.44	n/a	5-Sep	450.00	3.0
J. GOLDMAN	028	DHR	B	20,000	51.95	n/a	n/a	800.00	4.0
J. GOLDMAN	028	DHR	SS	20,000	51.13	n/a	n/a	800.00	0.0
⌘ BUCK CAPITAL MGMT		DKS	B	20,000	50.39	n/a	17-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DKS	B	30,000	50.39	n/a	17-Sep	non-brg	4.0
CONIFER/FIRESTORM/BC	033	DKS	SS	6,000	50.56	n/a	17-Sep	240.00	4.0
⌘ BUCK CAPITAL MGMT		DLTR	B	20,000	40.06	n/a	12-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DNKN	C	30,000	32.03	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DNKN	C	30,000	32.03	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DTG 1 P85	S	200	6.70	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		EBAY	B	25,000	48.65	n/a	n/a	non-brg 4.0
NEWLAND CAPITAL MGT	025	ENTG	S	10,000	8.17	n/a	n/a	300.00 3.0
NEWLAND CAPITAL MGT	025	ETN	B	7,500	45.71	n/a	19-Oct	300.00 4.0
B BUCK CAPITAL MGMT		FL	B	40,000	33.96	n/a	29-Aug	non-brg 4.0
BRONSON POINT	036	GGG	S	15,000	45.51	n/a	n/a	450.00 0.0
WEINTRAUB CAPITAL MGT.	084	GILD	B	25,000	67.75	n/a	n/a	1,000.00 4.0
B BUCK CAPITAL MGMT		GNC	S	30,000	38.20	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		GNC	S	30,000	38.20	n/a	n/a	non-brg 4.0
f KEVIN MICHAEL O'GORM	FID	HH	B	2200	0.61	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		HTZ	B	20,000	13.63	n/a	n/a	non-brg 4.0
BALYASNY ASSET MGMT	044	IP	B	25,000	35.36	n/a	25-Oct	1,250.00 0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	59,600	35.03	n/a	25-Oct	2,980.00 5.0
CYRUS CAPITAL	025	IWM	SS	12,000	81.01	n/a	n/a	360.00 3.0
SCOPUS FUND	041	JCP	B	58,200	25.09	n/a	13-Aug	2,328.00 4.0
B BUCK CAPITAL MGMT		JNY	S	150,000	12.04	n/a	25-Oct	non-brg 4.0
SIMMONS VENTURES	041	JNY	SS	1,900	12.53	n/a	25-Oct	76.00 4.0
B BUCK CAPITAL MGMT		JWN	B	40,000	55.24	n/a	5-Oct	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		KNX	B	400	13.80	n/a	n/a	non-brg 1.0
B BUCK CAPITAL MGMT		KR	C	195,450	25.32	n/a	n/a	non-brg 4.0
J. GOLDMAN	028	KSS	B	10,000	51.03	n/a	17-Oct	400.00 4.0
COOPER CREEK PART	028	LPX	B	20,000	15.13	n/a	15-Oct	800.00 4.0
ADAGE CAPITAL MGMT	030	LULU	B	120,000	67.68	n/a	10-Sep	3,600.00 3.0
B BUCK CAPITAL MGMT		LULU	C	20,000	67.94	n/a	10-Sep	non-brg 4.0
SENATOR INVESTMENT GROUP	036	MCK	B	28,200	94.08	n/a	n/a	846.00 0.0
Õ Nilsa Vazquez		MTLQU	S	42	18.71	n/a	n/a	0.00 0.0
VISIUM/BALY BOBBY	044	MTW	S	30,000	13.79	n/a	11-Jul	1,500.00 0.0
B BUCK CAPITAL MGMT		NKE	C	20,000	91.42	n/a	28-Sep	non-brg 4.0
f MARK ANTHONY GRONET	FID	NYB	B	2000	13.83	n/a	24-Oct	0.00 0.0
f SARAH ELIZABETH GRON	FID	NYB	B	100	13.83	n/a	24-Oct	0.00 0.0
f TIMOTHY MICHAEL GRON	FID	NYB	B	75	13.83	n/a	24-Oct	0.00 0.0
B BUCK CAPITAL MGMT		ORLY	C	16,000	85.02	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		ORLY	C	20,000	86.81	n/a	n/a	non-brg 2.5
B BUCK CAPITAL MGMT		ORLY	C	20,000	86.81	n/a	n/a	non-brg 2.5
B BUCK CAPITAL MGMT		ORLY	C	8,000	85.02	n/a	n/a	non-brg 4.0
NEWLAND CAPITAL MGT	025	PAG	SS	5,000	30.18	n/a	18-Oct	200.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	PBY	B	100,000	9.78	n/a	n/a	3,500.00	3.5
f YANAI A FRANK	FID	PDH	B	1200	12.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PG	C	18,250	69.95	n/a	25-Oct	non-brg	4.0
NEW JERSEY DIV OF INV.	030	PG	S	100,000	70.33	n/a	25-Oct	4,000.00	4.0
B BUCK CAPITAL MGMT		PII	B	20,000	83.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	B	20,000	83.56	n/a	n/a	non-brg	4.0
M&I FUNDS	047	PNK	S	55,526	13.12	n/a	n/a	2,221.04	4.0
f JOHN MICHAEL ZOLIDIS	FID	P	S	1000	7.82	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	RKT	S	2,597	72.99	n/a	15-Oct	103.88	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	13,155	72.10	n/a	15-Oct	657.75	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,845	71.81	n/a	15-Oct	92.25	0.0
ADAGE CAPITAL MGMT	030	ROST	B	51,896	60.54	n/a	5-Oct	1,556.88	3.0
B BUCK CAPITAL MGMT		RYL	S	45,000	33.83	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	SBUX	S	7,500	46.00	n/a	4-Oct	225.00	3.0
ADAGE CAPITAL MGMT	030	SFD	B	60,000	20.56	n/a	n/a	1,800.00	0.0
B BUCK CAPITAL MGMT		SKS	C	70,000	10.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	C	70,000	10.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKT	B	31,000	31.09	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		SKT	B	31,000	31.09	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	S	50,000	17.15	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	SKX	B	30,910	17.08	n/a	n/a	927.30	3.0
OSKIE CAPITAL MGMT	224	SXC	B	20,000	15.98	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	S	S	30,000	5.60	n/a	n/a	1,200.00	0.0
DECADE CAPITAL CHRIS C	041	TEX	B	15,590	21.53	n/a	n/a	623.60	0.0
⌘ BUCK CAPITAL MGMT		TOL	C	15,000	34.15	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		TRN	S	400	30.84	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TSCO	SS	10,000	92.89	n/a	n/a	500.00	0.0
DECADE CAPITAL CHRIS C	041	TWI	S	21,357	19.90	n/a	n/a	854.28	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	UA	S	5,000	53.39	n/a	18-Sep	150.00	3.0
LOMAS CAPITAL	040	WGO	B	25,000	12.23	n/a	n/a	750.00	3.0
⌘ BUCK CAPITAL MGMT		WMT	C	50,000	75.20	n/a	11-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WMT	C	50,000	75.20	n/a	11-Oct	non-brg	4.0
DECADE CAPITAL CHRIS C	041	WSO	SS	3,822	65.84	n/a	n/a	152.88	0.0
⌘ BUCK CAPITAL MGMT		WYNN	C	50,000	119.06	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	50,000	119.06	n/a	13-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WATERFRONT CAP	028	WY	S	77,700	27.33	n/a	15-Oct	3,108.00	0.0
⌘ BUCK CAPITAL MGMT		ZUMZ	S	19,420	26.34	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		ZUMZ	S	60,000	26.34	n/a	n/a	non-brg	2.5
TOTAL (Trade Date) :								58,204.09	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/22	NEUBERGER BERMAN	036	OEH	B	6,400	12.12	n/a	n/a	256.00 0.0
AO,CXL	10/22	NEUBERGER BERMAN	036	OEH	B	6,400	12.12	n/a	n/a	256.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	58,204.09
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	58,204.09
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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 25-Oct.
NONE

MRI Securities without Trade Activity on 25-Oct.
LCC, SPR

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)