



# Daily Compliance Activity Report

Trade Date: 11/19/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAN	C	24,350	29.21	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AAN	C	24,350	29.21	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	AMZN	S	5	2.78	n/a	n/a	0.00	0.0
HARALAMBOS EFSTATHI	FID	ARCO	S	1000	11.23	n/a	5-Nov	0.00	0.0
MACELLUM CAPITAL	086	ARO	B	58,117	13.37	n/a	n/a	1,743.51	3.0
BUCK CAPITAL MGMT		ASNA	B	100,000	19.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	B	20,000	9.98	n/a	n/a	non-brg	3.0
ROSEDALE CAPITAL	046	BSX	B	20,000	5.20	n/a	n/a	600.00	3.0
MARC PAUL LUCHANSKY	FID	CHD	B	100	52.42	n/a	5-Nov	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	CHS	S	50,000	18.08	n/a	5-Feb	1,750.00	3.5
PATTEN & PATTEN	025	CNR	S	200	85.19	n/a	n/a	10.00	5.0
MANNY I KORMAN	FID	CROX	B	8000	12.19	n/a	n/a	0.00	0.0
OZ MGMT	040	CSCO	C	125,000	18.19	n/a	19-Nov	3,750.00	0.0
PATTEN & PATTEN	025	CSCO	B	800	18.24	n/a	19-Nov	40.00	5.0
HOLLIS CAPITAL	033	C	B	5,000	36.13	n/a	19-Nov	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		C	B	30,000	36.19	n/a	19-Nov	1,200.00	4.0
SANDLER O'NEILL ASSET	031	C	S	15,000	36.04	n/a	19-Nov	750.00	5.0
⌘ BUCK CAPITAL MGMT		DECK	B	50,000	32.64	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DECK	B	50,000	32.64	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	DE	B	300	86.05	n/a	11-Jul	12.00	4.0
⌘ BUCK CAPITAL MGMT		DG	S	30,000	48.42	n/a	5-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DKS	B	30,000	51.38	n/a	13-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DKS	B	60,000	51.18	n/a	13-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DSW	B	30,000	61.23	n/a	11-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DSW	B	30,000	61.30	n/a	11-Feb	non-brg	4.0
CRAMER ROSENTHAL	070	EL	B	91,330	57.33	n/a	13-Nov	3,653.20	0.0
ADAGE CAPITAL MGMT	030	EXPR	B	134,334	11.26	n/a	n/a	4,030.02	3.0
⌘ BUCK CAPITAL MGMT		FNP	B	125,000	11.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FNP	B	400	11.54	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	B	30,000	83.58	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRAN	SS	10,000	25.80	n/a	n/a	non-brg	4.0
OZ MGMT	040	F	C	40,022	10.67	n/a	15-Nov	1,200.66	0.0
PECONIC PARTNERS	036	F	B	150,000	10.80	n/a	15-Nov	7,500.00	0.0
⌘ BUCK CAPITAL MGMT		GCO	S	30,000	54.73	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	GIL	S	106,158	33.00	n/a	18-Oct	5,307.90	5.0
IVORY CAPITAL	034	GIS	SS	37,000	40.27	n/a	n/a	1,850.00	0.0
PATTEN & PATTEN	025	GLW	S	450	11.01	n/a	24-Oct	22.50	5.0
FIRST NY SEC/CHRIS	041	GM	B	10,000	24.64	n/a	15-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GNC</b>	<b>B</b>	<b>20,000</b>	<b>34.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TIDE POINT CAPITAL	034	GPI	B	3,000	59.12	n/a	15-Nov	90.00	0.0
DAVIDSON KEMPNER ADVISOR	040	HFC	C	10,000	43.64	n/a	n/a	300.00	0.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>HIBB</b>	<b>S</b>	<b>200</b>	<b>54.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>HWD</b>	<b>B</b>	<b>1000</b>	<b>13.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	INTC	S	600	20.11	n/a	n/a	30.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	35.53	n/a	25-Oct	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	35.24	n/a	25-Oct	1,250.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IYK</b>	<b>B</b>	<b>1000</b>	<b>73.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>S</b>	<b>144,800</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>C</b>	<b>50,000</b>	<b>16.83</b>	<b>n/a</b>	<b>12-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	JPM	B	15,000	40.46	n/a	19-Nov	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT CAP/DEFRANCO	040	KEX	SS	5,387	56.42	n/a	n/a	215.48	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>20,000</b>	<b>51.08</b>	<b>n/a</b>	<b>14-Nov</b>	<b>non-brg</b>	<b>4.0</b>
IVORY CAPITAL	034	KO	SS	72,800	37.12	n/a	22-Oct	3,640.00	0.0
SAC TRADING TOM LEDDY	035	KSS	B	15,000	51.78	n/a	9-Nov	525.00	3.5
SUN AMERICA ASSET MGMT	030	LCC	B	62,300	11.81	n/a	19-Nov	2,492.00	0.0
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>71</b>	<b>19.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MARSICO CAPITAL	088	LOW	S	88,252	33.89	n/a	19-Nov	3,530.08	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDT</b>	<b>S</b>	<b>65,000</b>	<b>41.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>10</b>	<b>0.71</b>	<b>n/a</b>	<b>8-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>C</b>	<b>40,000</b>	<b>82.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>C</b>	<b>40,000</b>	<b>82.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>C</b>	<b>10,000</b>	<b>90.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	PAG	B	15,363	28.56	n/a	5-Nov	614.52	4.0
PATTEN & PATTEN	025	PHO	S	600	19.40	n/a	n/a	30.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>20,000</b>	<b>47.67</b>	<b>n/a</b>	<b>15-Nov</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	031	PLCE	B	1,500	46.67	n/a	15-Nov	75.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		RCII	C	5,850	34.99	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SAND SS	SS	35,000	13.91	n/a	n/a	non-brg	2.1
CASTLEROCK	040	SBUX	B	66,125	49.73	n/a	15-Nov	2,645.00	4.0
OZ MGMT	040	SBUX	B	65,000	49.84	n/a	15-Nov	1,950.00	0.0
BUCK CAPITAL MGMT		SIG	B	50,000	52.95	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SIG	B	50,000	52.95	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKX	B	15,700	16.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKX	B	15,700	16.69	n/a	n/a	non-brg	4.0
TRUST CO/COWEN/CALF.	040	SLM	B	108,895	16.90	n/a	15-Nov	4,355.80	0.0
PZENA INV ADV	044	SPLS	S	30,000	11.98	n/a	n/a	1,050.00	0.0
BUCK CAPITAL MGMT		SSI	C	32,500	24.11	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SSI	C	7,500	23.88	n/a	n/a	non-brg	0.8
PATTEN & PATTEN	025	SWN	S	50	35.79	n/a	15-Nov	2.50	5.0
BUCK CAPITAL MGMT		SYX	C	50,000	30.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TGT	B	100,000	63.07	n/a	15-Nov	non-brg	4.0
OZ MGMT	040	TGT	B	7,532	62.85	n/a	15-Nov	225.96	0.0
BUCK CAPITAL MGMT		TIF	C	38,910	60.98	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TIF	C	68,890	60.98	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		ULTA	B	20,000	89.63	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	V	B	10	0.65	n/a	16-Nov	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	10	1.52	n/a	16-Nov	0.00	0.0
BNP PARIBAS SEC	040	WAG	B	30,000	32.54	n/a	n/a	900.00	3.0
f DAVID GEORGE BUCK	FID	WLP	B	25	2.11	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WLP	S	10	1.14	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WMT	B	1000	68.64	n/a	15-Nov	0.00	0.0
f DAVID GEORGE BUCK	FID	WMT	B	200	68.68	n/a	15-Nov	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WMT	B	200	68.67	n/a	15-Nov	0.00	0.0
SAC TRADING TOM LEDDY	035	WMT	B	25,000	68.28	n/a	15-Nov	875.00	3.5
⚡ BUCK CAPITAL MGMT		WWW	C	50,000	42.17	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WWW	C	50,000	42.17	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	45,200	61.65	n/a	n/a	1,356.00	0.0
⚡ BUCK CAPITAL MGMT		ZLC	B	150,000	7.17	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	10,000	19.93	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	10,000	19.93	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	30,000	19.66	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	30,000	19.66	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								62,322.13	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/16	PATTEN & PATTEN	025	CVX	S	150	102.09	n/a	n/a	7.50	5.0
AO,CRT	11/16	PATTEN & PATTEN	025	CVX	S	150	102.09	n/a	n/a	7.50	5.0
AO,CXL	11/16	PATTEN & PATTEN	025	DVN	S	190	52.31	n/a	15-Nov	9.50	5.0
AO,CRT	11/16	PATTEN & PATTEN	025	DVN	S	190	52.31	n/a	15-Nov	9.50	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	62,322.13
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>62,322.13</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 19-Nov.  
NONE

MRI Securities without Trade Activity on 19-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)**