



# Daily Compliance Activity Report

Trade Date: 11/14/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ABG</b>	<b>B</b>	<b>18,000</b>	<b>27.96</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	AEO	B	100,000	19.64	n/a	2-Dec	3,000.00	3.0
BALYASNY ASSET MGMT	044	AEO	S	30,000	19.45	n/a	2-Dec	1,500.00	0.0
DECADE CAPITAL CHRIS C	041	ALGT	S	6,625	70.60	n/a	n/a	265.00	0.0
DECADE CAPITAL CHRIS C	041	ALK	SS	7,315	41.03	n/a	n/a	292.60	0.0
<b>f</b> WILLIAM J GAULT	<b>FID</b>	<b>AMCC</b>	<b>S</b>	<b>4215</b>	<b>6.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
YORK CAPITAL	036	AMD	S	500,000	1.96	n/a	n/a	7,500.01	0.8
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>39.99</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>39.99</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>40,000</b>	<b>40.02</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>40,000</b>	<b>40.02</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>60,000</b>	<b>40.17</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>60,000</b>	<b>40.17</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>70,000</b>	<b>40.51</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>70,000</b>	<b>40.51</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>ARCO</b>	<b>S</b>	<b>3100</b>	<b>10.95</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> THOMAS MACTAGGART LE	<b>FID</b>	<b>ARCO</b>	<b>S</b>	<b>400</b>	<b>10.95</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
MACELLUM CAPITAL	086	ARO	B	54,000	13.52	n/a	n/a	1,620.00	0.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>ARR</b>	<b>S</b>	<b>40000</b>	<b>6.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		AXL	B	50,000	9.77	n/a	2-Nov	non-brg	3.0
f	JONATHAN RICHARD HAR	FID	AXL	B	200	9.81	n/a	2-Nov	0.00	0.0
	WOOSTER CAPITAL	035	AXL	B	15,000	9.94	n/a	2-Nov	450.00	3.0
B	BUCK CAPITAL MGMT		BNNY	S	39,462	36.80	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		BYI	S	20,000	44.41	n/a	n/a	non-brg	4.0
	SAGE ASSET MGMT	025	BZ	B	199,100	7.96	n/a	n/a	9,955.00	5.0
B	BUCK CAPITAL MGMT		CAR	B	20,000	16.70	n/a	n/a	non-brg	1.0
	BAIRD INVESTMENT	047	CAT	S	4,800	82.64	n/a	11-Jul	240.00	0.0
	EGS ASSOCIATES LP	091	COH	B	6,500	53.55	n/a	5-Nov	325.00	5.0
	SCOPUS FUND	041	COH	SS	30,000	53.51	n/a	5-Nov	1,200.00	0.0
f	MANNY I KORMAN	FID	CRP	S	7000	25.93	n/a	n/a	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	CVI	B	2,421	38.60	n/a	n/a	72.63	0.0
	BTG PACTUAL	040	DAL	B	5,000	9.52	n/a	12-Nov	150.00	3.0
B	BUCK CAPITAL MGMT		DECK	S	20,000	30.25	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	S	80,000	30.02	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	S	80,000	30.02	n/a	n/a	non-brg	4.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	DE	S	5,000	84.60	n/a	11-Jul	200.00	4.0
f	DAVID GEORGE BUCK	FID	DIS	S	10	0.84	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	EXPR	B	365,000	10.76	n/a	n/a	10,950.00	3.0
f JILL ROSENBERG	FID	FAGIX	S	215	9.30	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FAGIX	S	170	9.30	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	228	9.30	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FAUDX	B	79	10.11	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FAUDX	B	138	10.11	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	B	105	10.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FDO	SS	50,000	66.26	n/a	4-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	SS	50,000	66.26	n/a	4-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	S	57,500	65.90	n/a	4-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	S	66,954	65.90	n/a	4-Oct	non-brg	4.0
BTG PACTUAL	040	FFIV	SS	15,000	87.25	n/a	25-Oct	450.00	3.0
OZ MGMT	040	FFIV	SS	25,000	90.00	n/a	25-Oct	750.00	0.0
f JILL ROSENBERG	FID	FILEFX	S	108	8.37	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FILEFX	S	84	8.37	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	S	108	8.37	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FKRCX	S	13	31.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	B	20,000	31.95	n/a	13-Nov	non-brg	4.0
f JILL ROSENBERG	FID	FNSXX	B	1300	1.00	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FNSXX	B	291	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	50,000	80.96	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FOSL	B	50,000	80.96	n/a	n/a	non-brg	4.0
JILL ROSENBERG	FID	FPIOX	B	80	9.94	n/a	n/a	0.00	0.0
KELLY ELIZABETH CLIF	FID	FPIOX	B	70	9.94	n/a	n/a	0.00	0.0
MARC PAUL LUCHANSKY	FID	FPIOX	B	91	9.94	n/a	n/a	0.00	0.0
JILL ROSENBERG	FID	FSHBX	S	47	8.60	n/a	n/a	0.00	0.0
JILL ROSENBERG	FID	FUSOX	B	50	9.97	n/a	n/a	0.00	0.0
KELLY ELIZABETH CLIF	FID	FUSOX	B	40	9.97	n/a	n/a	0.00	0.0
MARC PAUL LUCHANSKY	FID	FUSOX	B	60	9.97	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	F	B	10,000	10.85	n/a	2-Nov	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	S	185,000	10.66	n/a	2-Nov	5,550.00	3.0
BUCK CAPITAL MGMT		GIII	B	20,000	34.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	B	20,000	34.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	10,000	32.55	n/a	18-Oct	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	20,000	32.33	n/a	18-Oct	non-brg	4.0
BUCK CAPITAL MGMT		GM	B	20,000	24.29	n/a	2-Nov	non-brg	4.0
OZ MGMT	040	GM	B	50,000	24.15	n/a	2-Nov	1,500.00	0.0
TRELLUS PARTNERS LP	028	GM	B	21,000	24.61	n/a	2-Nov	630.00	0.0
KEVIN MICHAEL O'GORM	FID	IAU	B	20	1.00	n/a	n/a	0.00	0.0
SCOPUS FUND	041	IP	S	39,700	33.66	n/a	25-Oct	1,588.00	0.0
BUCK CAPITAL MGMT		IWF	SS	65,000	62.84	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		IWF	SS	65,000	62.84	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		JNY	S	125,000	10.92	n/a	25-Oct	non-brg	4.0
ROSEDALE CAPITAL	046	KEG	B	50,000	5.90	n/a	11-Oct	1,500.00	3.0
B BUCK CAPITAL MGMT		KORS	B	20,000	48.00	n/a	14-Nov	non-brg	4.0
SENATOR INVESTMENT GROUP	036	LEA	B	50,000	40.68	n/a	31-Oct	1,500.00	3.0
WOOSTER CAPITAL	035	LEA	S	25,000	40.40	n/a	31-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		LSTR	S	49,200	49.74	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	025	MIC	B	2,600	41.25	n/a	n/a	130.00	5.0
CATAPULT	040	MLM	S	8,500	85.34	n/a	n/a	340.00	0.0
PATTEN & PATTEN	025	MMM	B	1,200	87.58	n/a	6-Nov	60.00	5.0
B BUCK CAPITAL MGMT		MTOR	B	125,000	4.09	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	MTOR	S	20000	4.07	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MTW	S	1400	13.78	n/a	11-Jul	0.00	0.0
SAC CHICAGO ANDREW	031	M	B	10,000	39.21	n/a	8-Nov	350.00	3.5
PATTEN & PATTEN	025	NEE	B	1,600	66.70	n/a	n/a	80.00	5.0
CASTLEROCK	040	NTAP	SS	15,000	27.29	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		PCLN	SS	500	624.48	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	PH	B	2,500	78.01		n/a	n/a	100.00	4.0
BUCK CAPITAL MGMT		PII	B	30,000	80.33	n/a	n/a	non-brg	4.0	
BUCK CAPITAL MGMT		PII	B	50,000	80.66	n/a	n/a	non-brg	4.0	
CASTLEROCK	040	PLCE	B	7,500	57.78	n/a	12-Nov	300.00	0.0	
METROPOLITAN CAPITAL	044	PLCE	B	3,700	56.59	n/a	12-Nov	185.00	5.0	
JILL ROSENBERG	FID	PSFAX	S	50	9.91	n/a	n/a	0.00	0.0	
KELLY ELIZABETH CLIF	FID	PSFAX	S	40	9.91	n/a	n/a	0.00	0.0	
MARC PAUL LUCHANSKY	FID	PSFAX	S	61	9.91	n/a	n/a	0.00	0.0	
JILL ROSENBERG	FID	PTRAX	S	52	11.60	n/a	n/a	0.00	0.0	
KELLY ELIZABETH CLIF	FID	PTRAX	S	43	11.60	n/a	n/a	0.00	0.0	
ASCEND PARTNERS	033	PVH	B	25,000	107.31	n/a	1-Nov	750.00	0.0	
BUCK CAPITAL MGMT		RL	B	10,000	150.68	n/a	5-Nov	non-brg	4.0	
BUCK CAPITAL MGMT		RL	B	25,000	150.66	n/a	5-Nov	non-brg	4.0	
BAIRD INVESTMENT	047	SBUX	B	4,375	49.74	n/a	2-Nov	218.75	0.0	
BUCK CAPITAL MGMT		SHOO	B	30,000	41.46	n/a	n/a	non-brg	2.5	
BUCK CAPITAL MGMT		SHOO	B	30,000	41.46	n/a	n/a	non-brg	2.5	
LIONEYE CAPITAL	040	SPLS	S	90,000	11.47	n/a	n/a	4,500.00	5.0	
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	7,240	138.09	n/a	n/a	217.20	0.0	
COOKBIELER	028	STC	S	5,923	24.71	n/a	n/a	236.92	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	STZ	B	20,000	33.96	n/a	n/a	600.00	0.0
⌘ BUCK CAPITAL MGMT		SUMR	S	136,284	1.25	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SUMR	S	306,125	1.25	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TITN	B	25,000	20.13	n/a	n/a	non-brg	4.0
SAC CHICAGO ANDREW	031	TJX	B	25,000	42.14	n/a	14-Nov	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	TJX	SS	50,000	41.99	n/a	14-Nov	1,750.00	3.5
⌘ BUCK CAPITAL MGMT		TOL	C	16,927	29.82	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	TRN	B	3,600	29.45	n/a	n/a	180.00	5.0
NEW JERSEY DIV OF INV.	030	TRW	S	20,000	47.36	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	URBN	S	20,000	36.73	n/a	n/a	1,000.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	36.54	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	36.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	36.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	36.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	50,000	36.49	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	50,000	36.49	n/a	n/a	non-brg	4.0
CASTLEROCK	040	URBN	B	18,858	36.56	n/a	n/a	754.32	4.0
CATAPULT	040	UTX	S	14,300	75.70	n/a	n/a	572.00	0.0
PATTEN & PATTEN	025	UTX	B	1,400	74.88	n/a	n/a	70.00	5.0
SCOPUS FUND	041	VC	B	50,000	49.31	n/a	n/a	2,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	VFC	SS	400	154.41	n/a	23-Oct	16.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>WCRX</b>	<b>S</b>	<b>5000</b>	<b>11.73</b>	<b>n/a</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	WFM	B	20,000	90.25	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	WHR	B	5,000	98.11	n/a	n/a	200.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	SS	11,200	73.52	n/a	n/a	448.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	S	6,792	76.10	n/a	n/a	271.68	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WMT	B	25,000	71.54	n/a	12-Nov	750.00	3.0
MACELLUM CAPITAL	086	WWW	SS	27,900	40.49	n/a	n/a	837.00	0.0
HAMILTON CAP PART FIN	031	XLF	SS	100,000	15.34	n/a	n/a	2,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>SS</b>	<b>90,000</b>	<b>45.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>SS</b>	<b>90,000</b>	<b>45.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>65,000</b>	<b>60.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>65,000</b>	<b>60.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
FIRST NY SEC/CHRIS	041	YHOO	B	10,000	17.97	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ZUMZ</b>	<b>S</b>	<b>59,000</b>	<b>20.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>TOTAL (Trade Date):</b>								<b>75,630.11</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/13	GUGGENHEIM GLOBAL TRADING (GGT)	251	ATVI	B	5,000	10.68	n/a	n/a	100.00 2.0
AO,CXL	11/13	GUGGENHEIM GLOBAL TRADING (GGT)	251	ATVI	B	5,000	10.68	n/a	n/a	150.00 3.0
AO,CRT	11/13	WOOSTER CAPITAL	035	AXL	B	10,000	9.90	n/a	2-Nov	300.00 3.0
AO,CXL	11/13	WOOSTER CAPITAL	035	AXL	B	10,000	9.90	n/a	2-Nov	500.00 5.0
AO,CXL	11/01	COLUMBUS CIRCLE	036	NWL	B	6,200	21.16	n/a	n/a	4.00 0.0
AO,CRT	11/01	COLUMBUS CIRCLE	036	NWL	B	6,200	21.16	n/a	n/a	248.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-6.00</b>
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TOTAL (Trade Date) :	75,630.11
TOTAL (AO, CXL, CRT) :	-6.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>75,624.11</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 14-Nov.  
NONE

MRI Securities without Trade Activity on 14-Nov.  
ATI

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)**