



# Daily Compliance Activity Report

Trade Date: 11/05/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>23</b>	<b>578.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	AAWW	C	10,000	44.44	n/a	n/a	300.00	0.0
PARAMETER CAPITAL MGMT LLC044	ACE		B	20,000	77.90	n/a	n/a	800.00	4.0
CAMBIAR CAP	046	ADM	S	330,000	26.61	n/a	31-Oct	13,200.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>20.80</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>20.80</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>20.80</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>20.80</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>20.80</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	031	AEO	B	3,000	20.77	n/a	2-Dec	150.00	0.0
COLUMBUS CIRCLE	036	ALGN	S	2,700	25.94	n/a	n/a	108.00	0.0
PARAMETER CAPITAL MGMT LLC044	ALL		B	20,000	38.70	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>33.91</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>ARR</b>	<b>B</b>	<b>2500</b>	<b>7.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>25,000</b>	<b>10.28</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>1.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AXP</b>	<b>S</b>	<b>1200</b>	<b>56.38</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>AXP</b>	<b>S</b>	<b>300</b>	<b>56.34</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	BBBY	B	20,000	57.55	n/a	n/a	600.00	3.0
ADAGE CAPITAL MGMT	030	BKE	B	40,000	47.04	n/a	n/a	1,200.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>3000</b>	<b>3.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>2000</b>	<b>3.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOMAS CAPITAL	040	CCL	B	65,000	38.56	n/a	n/a	1,950.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CCXI</b>	<b>S</b>	<b>2500</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CERN</b>	<b>SS</b>	<b>6,400</b>	<b>78.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COLUMBUS CIRCLE	036	CREE	B	3,000	30.97	n/a	n/a	120.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CROX</b>	<b>B</b>	<b>3000</b>	<b>13.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>100</b>	<b>7.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	CVI	B	1,900	35.35	n/a	n/a	57.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>50,000</b>	<b>32.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>80,000</b>	<b>31.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	DG	S	50,000	47.58	n/a	5-Sep	2,000.00	4.0
SAC CHICAGO ANDREW	031	DLTR	B	27,116	38.94	n/a	12-Oct	949.06	3.5
BTG PACTUAL	040	DPZ	B	5,000	41.15	n/a	17-Oct	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	EPD	S	250	53.00	n/a	n/a	10.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>EXC</b>	<b>B</b>	<b>2000</b>	<b>32.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>320</b>	<b>15.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	031	FINL	B	1,000	20.91	n/a	28-Sep	50.00	0.0
SAC CHICAGO ANDREW	031	FL	B	26,100	33.94	n/a	29-Aug	913.50	3.5
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>4000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>550</b>	<b>35.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>550</b>	<b>35.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>B</b>	<b>20,000</b>	<b>25.50</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PATRIOT STRATEGY PARTNERS	036	GM	B	20,000	25.69	n/a	2-Nov	800.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>HOV</b>	<b>S</b>	<b>1000</b>	<b>4.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	INTC	B	750	21.96	n/a	n/a	37.50	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWM</b>	<b>B</b>	<b>500</b>	<b>81.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>IWM</b>	<b>B</b>	<b>200</b>	<b>81.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	JNY	B	50,000	11.85	n/a	25-Oct	1,750.00	3.5
CAERUS GLOBAL	041	KSS	B	50,000	54.73	n/a	5-Nov	2,000.00	4.0
SAC CHICAGO ANDREW	031	KSS	B	10,206	54.45	n/a	5-Nov	357.21	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	LPX	B	30,956	16.01	n/a	15-Oct	1,238.24	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LSTR</b>	<b>B</b>	<b>10,000</b>	<b>50.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SURVEYOR CAPITAL	251	MGM	SS	304,981	10.07	n/a	13-Jun	9,149.43	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>B</b>	<b>25</b>	<b>0.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	MLNX	B	1,200	80.61	n/a	n/a	48.00	0.0
SURVEYOR CAPITAL	251	M	B	129,846	41.06	n/a	5-Nov	3,895.38	0.0
PATTEN & PATTEN	025	NSC	B	275	61.68	n/a	n/a	13.75	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PCH</b>	<b>S</b>	<b>100</b>	<b>38.42</b>	<b>n/a</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	PSX	S	479	46.77	n/a	n/a	19.16	4.0
TALPION LLC	040	RAX	SS	4,000	66.00	n/a	n/a	160.00	0.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>RSE</b>	<b>B</b>	<b>300</b>	<b>15.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>SHW</b>	<b>S</b>	<b>110</b>	<b>141.94</b>	<b>n/a</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	SIRO	B	1,200	58.49	n/a	n/a	48.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKS 5 P10</b>	<b>SS</b>	<b>1,000</b>	<b>0.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKS 5 P10</b>	<b>SS</b>	<b>1,000</b>	<b>0.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
PARKWEST	084	SLCA	S	100,000	14.47	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	STI	B	15,000	26.78	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		SUMR	S	8,000	1.45	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		SUMR	S	8,000	1.45	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		TEVA	B	12,200	41.00	n/a	5-Nov	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	17.70	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	TMO	B	12,500	61.88	n/a	n/a	625.00	0.0
COLUMBUS CIRCLE	036	WAC	S	12,200	41.90	n/a	n/a	488.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WMT	SS	80,000	72.92	n/a	11-Oct	2,400.00	3.0
M&I FUNDS	047	WRC	S	20,942	71.04	n/a	1-Nov	837.68	4.0
<b>TOTAL (Trade Date):</b>								<b>51,374.91</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/01	WOOSTER CAPITAL	035	AXL	B	100,000	10.69	n/a	2-Nov	4000.00 4.0
AO,CXL	11/01	WOOSTER CAPITAL	035	AXL	B	100,000	10.69	n/a	2-Nov	5000.00 5.0
AO,CRT	11/01	SANDLER O'NEILL ASSET	031	BAC	S	17,500	9.60	n/a	5-Nov	525.00 3.0
AO,CXL	11/01	SANDLER O'NEILL ASSET	031	BAC	S	17,500	9.60	n/a	5-Nov	875.00 5.0
AO,	11/02	IRIDIAN ASSET MGMT.	036	THRX	B	7,380	21.16	n/a	n/a	369.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-981.00</b>
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TOTAL (Trade Date) :	51,374.91
TOTAL (AO, CXL, CRT) :	-981.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>50,393.91</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	11/01	BUCK CAPITAL MGMT.	IWO	C	90,000	93.55	n/a	n/a	1800.00
CRT	11/01	BUCK CAPITAL MGMT	IWO	C	90,000	93.55	n/a	n/a	900.00 1.0

MRI Securities with Trade Activity on 5-Nov.  
NONE

MRI Securities without Trade Activity on 5-Nov.  
PAG, RL, RKT

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)**