



# Daily Compliance Activity Report

Trade Date: 11/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFRANCO	040	AAPL	S	641	545.52	n/a	n/a	25.64	0.0
SYMPHONY ASSET	033	ACIW	SS	1,770	43.02	n/a	n/a	53.10	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ADT</b>	<b>S</b>	<b>30</b>	<b>42.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	AIG	B	55,000	31.78	n/a	n/a	1,650.00	3.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>AMCC</b>	<b>S</b>	<b>3185</b>	<b>6.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	AMRN	B	75,000	11.10	n/a	n/a	3,750.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>21</b>	<b>226.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	AOL	B	20,000	38.41	n/a	n/a	600.00	0.0
LEVIN CAPITAL STRATEGIES	041	APC	B	10,345	71.04	n/a	31-Oct	310.35	0.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARCO</b>	<b>S</b>	<b>1200</b>	<b>11.60</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ATI</b>	<b>B</b>	<b>17,500</b>	<b>27.76</b>	<b>n/a</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>50,200</b>	<b>10.00</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>3.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>200</b>	<b>10.02</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	10,000	46.90	n/a	n/a	350.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>BNNY</b>	<b>S</b>	<b>75,000</b>	<b>37.01</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.	
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>BNNY</b>	<b>S</b>	<b>75,000</b>	<b>37.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	BARROW HANLEY MEWHINNEY	031	BP	B	445,200	40.90	n/a	n/a	15,582.00	0.0
	LATEEF MGMT	035	BP	B	1,200	40.87	n/a	n/a	120.00	10.0
	1798 CAP/LOMBARD ASSET	040	BZH	B	100,000	14.20	n/a	n/a	5,000.00	0.0
<b>f</b>	<b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CMCSA</b>	<b>S</b>	<b>112</b>	<b>36.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	BESSEMER INVESTMENT	085	COP	S	228	55.80	n/a	n/a	9.12	4.0
	SYMPHONY ASSET	033	COP	B	2,930	55.69	n/a	n/a	87.90	0.0
	SYMPHONY ASSET	033	CSC	B	14,660	35.21	n/a	n/a	439.80	0.0
	COLUMBUS CIRCLE	036	CYBX	B	1,189	46.48	n/a	n/a	47.56	0.0
	LOMAS CAPITAL	040	DAL	S	100,000	10.30	n/a	12-Nov	3,000.00	3.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>S</b>	<b>32,984</b>	<b>20.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	BTG PACTUAL	040	DKS	B	10,000	48.88	n/a	9-Nov	300.00	0.0
	CATAPULT CAP/DEFRANCO	040	DKS	B	6,200	49.65	n/a	9-Nov	248.00	0.0
	CATAPULT CAP/DEFRANCO	040	DKS	SS	6,167	49.60	n/a	9-Nov	246.68	0.0
	NOMURA/ANGEL LANE PRINCIPAL	040	DKS	B	25,000	48.89	n/a	9-Nov	750.00	3.0
	OZ MGMT	040	DKS	B	50,000	49.49	n/a	9-Nov	1,500.00	0.0
	LATEEF MGMT	035	DVN	S	500	53.81	n/a	11-Oct	60.00	12.0
<b>f</b>	<b>ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>500</b>	<b>16.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b>	<b>Abram Chappel</b>		<b>FBC</b>	<b>S</b>	<b>250</b>	<b>16.41</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>f JASON ERIC COHEN</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>200</b>	<b>16.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN FRANCIS MCERLEA</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>250</b>	<b>16.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	FDO	B	10,000	66.18	n/a	4-Oct	400.00	4.0
WEXFORD CAPITAL	033	FDO	B	30,000	66.45	n/a	4-Oct	900.00	0.0
<b>f ANDREW LONGLEY TRUS</b>	<b>FID</b>	<b>FLPSX</b>	<b>B</b>	<b>72</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CLIFFORD LONGLEY TR</b>	<b>FID</b>	<b>FLPSX</b>	<b>B</b>	<b>72</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN LONGLEY TR</b>	<b>FID</b>	<b>FLPSX</b>	<b>B</b>	<b>72</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FLPSX</b>	<b>S</b>	<b>32</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	25,000	32.49	n/a	29-Aug	750.00	3.0
CATAPULT CAP/DEFRANCO	040	FOSL	B	2,682	82.21	n/a	n/a	107.28	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>S</b>	<b>4000</b>	<b>18.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>S</b>	<b>500</b>	<b>18.91</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>10,000</b>	<b>35.03</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>10,000</b>	<b>35.03</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>5,000</b>	<b>35.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TEMAGAMI CAPITAL	041	GM	B	7,000	25.22	n/a	2-Nov	280.00	4.0
SCOPUS FUND	041	GPI	S	10,000	58.70	n/a	2-Nov	400.00	4.0
BTG PACTUAL	040	HD	B	10,000	61.12	n/a	8-Nov	300.00	0.0
CASTLEROCK	040	HD	B	5,000	61.12	n/a	8-Nov	200.00	0.0
SYMPHONY ASSET	033	HPQ	SS	6,250	13.47	n/a	n/a	187.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	INTC	S	396,770	20.74	n/a	n/a	19,838.50	0.0
f MARC PAUL LUCHANSKY	FID	IWB	B	81	76.52	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	IWD	B	158	70.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	IWF	S	19	63.66	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IWM	B	500	79.33	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	IWM	B	200	79.27	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	IWS	B	47	47.94	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JAENX	B	23	64.27	n/a	n/a	0.00	0.0
CHARTER OAK	033	JBHT	SS	50,000	59.61	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		JCP	C	100,000	18.42	n/a	12-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	SS	100,000	19.26	n/a	12-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	SS	50,000	19.18	n/a	12-Nov	non-brg	4.0
BESSEMER INVESTMENT	085	JNJ	S	200	69.56	n/a	n/a	8.00	4.0
B BUCK CAPITAL MGMT		JPM	B	12,500	40.51	n/a	8-Nov	non-brg	1.0
SAC TRADING TOM LEDDY	035	JWN	B	20,000	54.75	n/a	9-Nov	700.00	3.5
J. GOLDMAN	028	KSS	B	15,000	51.30	n/a	9-Nov	600.00	4.0
f REUBEN D DVORETSKY	FID	LMT	B	45	89.63	n/a	8-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>LSTR</b>	<b>B</b>	<b>10,000</b>	<b>50.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>LUK</b>	<b>S</b>	<b>20000</b>	<b>21.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	2,500	3.05		n/a	n/a	75.00 3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MRLBX</b>	<b>B</b>	<b>150</b>	<b>9.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>MTW</b>	<b>S</b>	<b>252</b>	<b>13.70</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	NRG	B	20,000	20.27		n/a	n/a	640.00 0.0
SYMPHONY ASSET	033	NTAP	SS	2,600	27.05		n/a	n/a	78.00 0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PAFDX</b>	<b>S</b>	<b>401</b>	<b>25.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PASSX</b>	<b>S</b>	<b>33</b>	<b>34.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	PBCT	S	50,000	11.63		n/a	19-Oct	2,000.00 4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PG</b>	<b>S</b>	<b>3000</b>	<b>67.13</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>PG</b>	<b>S</b>	<b>200</b>	<b>67.15</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	PH	C	13,000	79.15		n/a	n/a	650.00 0.0
CATAPULT CAP/DEFRANCO	040	PNK	SS	12,494	11.79		n/a	n/a	499.76 0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PNR</b>	<b>S</b>	<b>14</b>	<b>44.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	QCOM	B	41,202	61.58		n/a	n/a	1,318.49 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFRANCO	040	ROC	SS	7,055	43.69	n/a	n/a	282.20	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>30,000</b>	<b>26.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRIGADE CAPITAL MGMT	029	SD	B	50,000	5.31	n/a	n/a	1,500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>20,000</b>	<b>41.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>30,300</b>	<b>41.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LONG OAR GLOBAL INV	040	SHW	B	20,000	149.71	n/a	25-Oct	800.00	4.0
MACELLUM CAPITAL	086	SKX	B	42,470	15.76	n/a	n/a	1,274.10	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SMAIX</b>	<b>B</b>	<b>2229</b>	<b>4.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SPHIX</b>	<b>S</b>	<b>1144</b>	<b>9.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	SRZ	S	1,000	14.39	n/a	n/a	50.00	5.0
COOKBIELER	028	STC	S	26,600	24.58	n/a	n/a	1,064.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	20,000	35.02	n/a	n/a	600.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>1,000</b>	<b>1.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>1,000</b>	<b>1.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.5</b>
OZ MGMT	040	TGT	B	75,000	61.96	n/a	9-Nov	2,250.00	0.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>TIP</b>	<b>S</b>	<b>30</b>	<b>122.91</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.	
ADAGE CAPITAL MGMT	030	TJX	B	250,000	41.05	n/a	5-Nov	7,500.00	3.0
BESSEMER INVESTMENT	085	TRGP	S	930	46.41	n/a	n/a	37.20	4.0
f GAJANTHAN BALAKANES	FID	TROX	B	13	18.45	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TYC	S	60	27.53	n/a	3-Oct	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VSVIX	B	63	20.82	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VUG	B	86	68.90	n/a	n/a	0.00	0.0
OZ MGMT	040	WMT	SS	75,000	72.12	n/a	12-Nov	2,250.00	0.0
M&I FUNDS	047	WRC	S	36,865	70.77	n/a	6-Nov	1,474.60	4.0
<b>TOTAL (Trade Date) :</b>								<b>85,644.78</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/09	MARCATO CAPITAL MGMT.	029	JCP	SS	500,000	20.21	n/a	12-Nov	20000.00 4.0
AO,CXL	11/09	MARCATO CAPITAL MGMT.	029	JCP	SS	500,000	20.21	n/a	12-Nov	15000.00 3.0
AO,CRT	11/09	NEWLAND CAPITAL MGT	025	SPY	SS	20,000	138.67	n/a	n/a	400.00 2.0
AO,CXL	11/09	NEWLAND CAPITAL MGT	025	SPY	SS	20,000	138.67	n/a	n/a	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,600.00</b>

TOTAL (Trade Date) :	85,644.78
TOTAL (AO, CXL, CRT) :	4,600.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>90,244.78</b>
---------------------------------	------------------



BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 12-Nov.  
NONE

MRI Securities without Trade Activity on 12-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)