



Daily Compliance Activity Report

Trade Date: 11/02/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	5,000	591.98	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	AET	B	1,750	43.87	n/a	n/a	70.00	4.0
f JOSEPH CIRO AMATURO	FID	AIG	B	1000	33.71	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	AIG	B	10	0.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	50,000	32.68	n/a	16-Aug	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	ANF	B	10,000	33.04	n/a	16-Aug	300.00	3.0
PATTEN & PATTEN	025	APC	B	100	70.34	n/a	31-Oct	5.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	APP	S	3000	1.05	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ARCO	C	50,000	12.50	n/a	2-Nov	2,500.00	0.0
CASTLEROCK	040	ARCO	SS	106,235	12.36	n/a	2-Nov	4,249.40	0.0
MERCHANTS GATE CAP LP	036	ARCO	C	50,000	12.59	n/a	2-Nov	2,000.00	0.0
OZ MGMT	040	ARCO	C	57,504	12.39	n/a	2-Nov	1,725.12	0.0
OZ MGMT	040	ARCO	SS	57,504	12.61	n/a	2-Nov	1,725.12	0.0
KAM ADVISORS LLC	041	AXL	B	164,800	10.55	n/a	2-Nov	4,944.00	0.0
PATTEN & PATTEN	025	AXP	B	50	56.87	n/a	2-Nov	2.50	5.0
f WILLIAM WEINBERG	FID	BTH	S	4000	20.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BTU	B	17,600	28.49	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		CAR	B	30,000	16.37	n/a	n/a	non-brg 1.0
f MANNY I KORMAN	FID	CROX	B	6000	12.90	n/a	n/a	0.00 0.0
PATTEN & PATTEN	025	CSCO	S	600	17.48	n/a	9-Oct	30.00 5.0
BESSEMER INVESTMENT	085	CTL	S	2,000	38.71	n/a	n/a	80.00 4.0
PATTEN & PATTEN	025	DD	B	130	44.79	n/a	23-Oct	6.50 5.0
f KAREN F LEDDY	FID	DECK	B	500	30.49	n/a	n/a	0.00 0.0
SCOPUS FUND	041	DG	S	100,000	48.01	n/a	5-Sep	4,000.00 4.0
BRONSON POINT	036	DIS	B	25,000	49.80	n/a	n/a	750.00 0.0
B BUCK CAPITAL MGMT		DKS	B	20,000	51.59	n/a	17-Sep	non-brg 4.0
PATTEN & PATTEN	025	DOW	S	200	30.04	n/a	24-Oct	10.00 5.0
B BUCK CAPITAL MGMT		DTG 1 P85	S	50	12.00	n/a	n/a	non-brg 300.0
PATTEN & PATTEN	025	EEM	S	300	41.72	n/a	n/a	15.00 5.0
f MARK DEVEREAUX KAICH	FID	FBC	S	500	14.49	n/a	n/a	0.00 0.0
f KAREN F LEDDY	FID	FRAN	B	300	27.93	n/a	n/a	0.00 0.0
PECONIC PARTNERS	036	F	S	300,000	11.29	n/a	2-Nov	15,000.00 0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SERGEI BARANOVSKY	FID	F	S	30	0.41	n/a	2-Nov	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	GLUU	B	5000	2.68	n/a	n/a	0.00	0.0
	CAMBIAR CAP	046	GLW	S	184,925	11.84	n/a	24-Oct	7,397.00	0.0
B	BUCK CAPITAL MGMT		GM	B	20,000	25.58	n/a	2-Nov	non-brg	1.0
	FORTRESS INVESTMENT (US)	036	GM	B	115,000	25.92	n/a	2-Nov	4,600.00	0.0
	LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	25.89	n/a	2-Nov	300.00	0.0
f	PATRICK TERRICE DUFF	FID	GM	B	500	25.70	n/a	2-Nov	0.00	0.0
	PATRIOT STRATEGY PARTNERS	036	GM	B	30,000	25.84	n/a	2-Nov	1,200.00	0.0
	MACELLUM CAPITAL	086	GPS	SS	31,510	35.27	n/a	n/a	945.30	3.0
	OHIO PERS	047	HOG	B	36,000	48.03	n/a	n/a	1,080.00	0.0
f	MARK DEVEREAUX KAICH	FID	HOV	S	2000	4.55	n/a	n/a	0.00	0.0
	PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	30.87	n/a	31-Oct	400.00	0.0
	KENNEDY CAPITAL	046	ICON	S	58,091	19.60	n/a	n/a	2,323.64	0.0
	PATTEN & PATTEN	025	IP	B	50	36.17	n/a	25-Oct	2.50	5.0
B	BUCK CAPITAL MGMT		IWF	C	65,000	65.71	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		IWF	C	65,000	65.71	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		IWO	C	30,000	92.89	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		IWO	C	45,000	93.40	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		IWO	C	45,000	93.40	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IXN	B	150	66.29	n/a	n/a	7.50	5.0
ß BUCK CAPITAL MGMT		JBLU	S	143,800	5.28	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		JCP	S	50,000	24.28	n/a	13-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	JOY	B	2000	64.47	n/a	11-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		JWN	B	20,000	56.99	2-Nov	2-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		KMX	S	50,000	35.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KMX	S	50,000	35.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	S	20,000	57.90	n/a	18-Oct	non-brg	4.0
PATTEN & PATTEN	025	KRE	B	25	28.10	n/a	n/a	1.25	5.0
COOPER CREEK PART	028	LPX	B	36,000	15.97	n/a	15-Oct	1,440.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	15.91	n/a	15-Oct	1,500.00	5.0
CAPITAL RESEARCH GROUP		296 LUV	S	457,900	9.04		n/a	n/a	16,026.50 0.0
ß BUCK CAPITAL MGMT		LVS	S	50,000	46.26	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	S	50,000	46.26	n/a	13-Jun	non-brg	4.0
INTERVAL PARTNERS	033	MAS	SS	20,000	16.03	n/a	n/a	600.00	0.0
SCOPUS FUND	041	M	SS	25,000	40.63	2-Nov	2-Nov	1,000.00	4.0
f DAVID GEORGE BUCK	FID	NUS	B	3000	47.30	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	PAG	B	5,000	29.58	n/a	18-Oct	200.00	4.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	46.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	47.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	47.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	47.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	47.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	47.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	49.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	11	53.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PCLN 11 C600	S	22	48.50	n/a	n/a	non-brg	300.0
OHIO PERS	047	PFG	S	61,626	28.10	n/a	n/a	1,848.78	0.0
SHEFFIELD ASSET MGMT	031	PKG	S	20,000	36.03	n/a	16-Oct	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	P	B	500	8.35	n/a	n/a	0.00	0.0
TALPION LLC	040	QEP	B	3,900	28.37	n/a	n/a	156.00	0.0
ß BUCK CAPITAL MGMT		RH	B	10,000	31.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	16,000	31.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	20,000	31.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	20,000	31.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	22,000	31.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	22,000	31.53	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	RKT	B	5,900	67.36	n/a	15-Oct	236.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	69.29	n/a	15-Oct	750.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RL	B	10,000	162.99	n/a	18-Oct	300.00	3.0
f DAVID GEORGE BUCK	FID	SBUX	S	2020	26.54	n/a	2-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	SBUX	B	69,030	51.17	n/a	2-Nov	2,761.20	0.0
SENATOR INVESTMENT GROUP	036	SBUX	B	150,000	50.67	n/a	2-Nov	4,500.00	3.0
ß BUCK CAPITAL MGMT		SKS 5 P10	SS	1,000	0.95	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKS 5 P10	SS	1,000	0.95	n/a	n/a	non-brg	100.0
PATTEN & PATTEN	025	SLB	B	200	69.54	n/a	n/a	10.00	5.0
f MANNY I KORMAN	FID	SLMAP	B	77	48.10	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	SPY	S	50	142.70	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	SRZ	S	300	14.42	n/a	n/a	15.00	5.0
ß BUCK CAPITAL MGMT		SUMR	S	6,551	1.52	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		SUMR	S	6,551	1.52	n/a	n/a	non-brg	0.5
f GAVIN N CADWALLADER	FID	SWN	S	65	36.04	n/a	2-Nov	0.00	0.0
PATTEN & PATTEN	025	SWN	S	200	35.04	n/a	2-Nov	10.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	SS	20,000	63.25	n/a	1-Nov	600.00	3.0
PATTEN & PATTEN	025	TOL	B	75	33.09	n/a	n/a	3.75	5.0
KAM ADVISORS LLC	041	USG	S	83,100	26.94	n/a	22-Oct	2,493.00	0.0
PATTEN & PATTEN	025	UTX	B	1,200	79.32	n/a	n/a	60.00	5.0
EATON VANCE MGMT	029	VOD	S	500,000	27.02	n/a	n/a	15,000.00	0.0
PATTEN & PATTEN	025	VWO	B	300	42.00	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	WNC	B	25,000	7.45	n/a	n/a	875.00	3.5
ß BUCK CAPITAL MGMT		WRC	S	100,000	71.35	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	50,000	70.96	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	50,000	71.01	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	50,000	71.35	n/a	1-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		XLY	C	90,000	47.06	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLY	C	90,000	47.06	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							106,872.56		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/31	PATTEN & PATTEN	025	EWC	S	60	28.43	n/a	n/a	3.00	5.0
AO,CRT	10/31	PATTEN & PATTEN	025	EWC	S	60	28.43	n/a	n/a	3.00	5.0
AO,CRT	10/31	PATTEN & PATTEN	025	GLD	S	10	166.59	n/a	n/a	0.50	5.0
AO,CXL	10/31	PATTEN & PATTEN	025	GLD	S	10	166.59	n/a	n/a	0.50	5.0
AO,CRT	10/31	PATTEN & PATTEN	025	OXY	S	20	79.80	n/a	n/a	1.00	5.0
AO,CXL	10/31	PATTEN & PATTEN	025	OXY	S	20	79.80	n/a	n/a	1.00	5.0
AO,CXL	10/31	PATTEN & PATTEN	025	RDSA	S	20	69.03	n/a	n/a	1.00	0.0
AO,CRT	10/31	PATTEN & PATTEN	025	RDSA	S	20	69.03	n/a	n/a	1.00	5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	106,872.56
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	106,872.56
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	11/01	BUCK CAPITAL MGMT	LVS	S	50,000	46.13	n/a	13-Jun	500.00 1.0
AO	11/01	BUCK CAPITAL MGMT	LVS	S	50,000	46.13	n/a	13-Jun	500.00 1.0
AO	11/01	BUCK CAPITAL MGMT	RH	B	16,349	24.00	n/a	n/a	0.00 0.0
AO	11/01	BUCK CAPITAL MGMT	RH	B	16,349	24.00	n/a	n/a	0.00 0.0
AO	11/01	BUCK CAPITAL MGMT	RH	B	12,302	24.00	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 2-Nov.

JWN, M

MRI Securities without Trade Activity on 2-Nov.

WBC, KSS

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)