



Daily Compliance Activity Report

Trade Date: 12/06/2012

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		AEO	S	269,903	21.32	n/a	2-Dec	non-brg	4.0
CENTURION PARTNERS	041	AEO	S	20,000	21.33	n/a	2-Dec	800.00	4.0
PATTEN & PATTEN	025	AMLFP	S	4,000	15.94	n/a	n/a	200.00	5.0
B BUCK CAPITAL MGMT		ARO	C	100,000	13.91	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	AXP	B	2,000	55.98	n/a	5-Dec	100.00	5.0
J. GOLDMAN	028	BA	SS	27,000	73.36	n/a	16-Nov	1,080.00	4.0
PZENA INV ADV	044	BHI	B	8,825	41.97	n/a	n/a	308.89	0.0
WELLSPRING CAPITAL	093	BRKB	S	4,000	87.57	n/a	n/a	160.00	4.0
M&I FUNDS	047	BRKR	B	50,000	14.20	n/a	n/a	2,000.00	0.0
PARKWEST	084	CALX	B	50,000	7.19	n/a	n/a	1,500.00	3.0
J. GOLDMAN	028	CAT	SS	12,000	85.80	n/a	11-Jul	480.00	4.0
ACK ASSET	028	CIR	B	19,406	35.56	n/a	n/a	582.18	0.0
TOURMALINE PARTNERS LLC	086	CMVT	B	35,000	3.57	n/a	n/a	1,050.00	0.0
BTG PACTUAL	040	COH	B	15,000	57.92	n/a	5-Nov	450.00	0.0
TROUBH PART	070	COH	B	10,000	57.60	n/a	5-Nov	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		C	S	210,000	36.51	n/a	5-Dec	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	DAL	B	500	10.00	n/a	6-Dec	0.00	0.0
CR INTRINSIC/CHRIS C	041	DAN	B	15,000	14.33	n/a	31-Oct	525.00	3.5
SHEFFIELD ASSET MGMT	031	DECK	S	93,000	41.34	n/a	n/a	3,720.00	4.0
EPOCH INV MGMT	030	DELL	S	650,000	10.44	n/a	n/a	19,500.00	0.0
B BUCK CAPITAL MGMT		DIA	C	90,000	130.47	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DKS	B	20,000	51.39	n/a	13-Nov	non-brg	4.0
MACELLUM CAPITAL	086	DSW	B	20,786	68.16	n/a	11-Feb	623.58	3.0
f JONATHAN RICHARD HAR	FID	FBC	B	100	18.80	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	FBHS	S	30,000	28.92	n/a	n/a	1,050.00	3.5
f CHRISTOPHER ROBERT C	FID	FBR	S	500	11.43	n/a	n/a	0.00	0.0
CENTURION PARTNERS	041	FL	B	10,000	35.32	n/a	16-Nov	400.00	4.0
B BUCK CAPITAL MGMT		GCO	S	20,000	54.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	20,000	54.70	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	GCO	S	18,990	54.75	n/a	n/a	759.60	0.0
KLEINHEINZ CAP PART	031	HON	S	50,000	61.05	n/a	22-Oct	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		HRG		S	45,175	9.07	n/a	n/a	1,355.25	3.0
PATTEN & PATTEN	025	INTC	S	2,500	20.19	n/a	n/a	125.00	5.0	
HIGHBRIDGE CAP	041	ITB	B	8,000	19.92	n/a	n/a	240.00	3.0	
FIRST NY SEC/CHRIS	041	JWN	SS	5,000	52.78	n/a	30-Nov	250.00	5.0	
WELLSPRING CAPITAL	093	KCG	S	20,000	3.33	n/a	n/a	800.00	4.0	
LATEEF MGMT	035	KR	S	1,100	26.94	n/a	n/a	110.00	10.0	
CENTURION PARTNERS	041	LUK	S	35,000	23.13	n/a	n/a	1,400.00	4.0	
HIGHBRIDGE CAP	041	MAS	B	16,000	16.24	n/a	n/a	480.00	3.0	
LOMAS CAPITAL	040	MET	B	50,000	32.90	n/a	n/a	1,500.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)251		MRGE		S	15,000	2.85	n/a	n/a	450.00	3.0
PZENA INV ADV	044	MS	B	77,575	16.83	n/a	4-Dec	2,715.18	0.0	
ARMATURE CAPITAL	041	MWV	B	50,000	30.47	n/a	24-Oct	2,000.00	0.0	
B BUCK CAPITAL MGMT		MW	C	25,000	29.20	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		MW	C	30,000	30.25	n/a	n/a	non-brg	4.0	
FIRST NY SEC/CHRIS	041	M	SS	10,000	38.94	n/a	30-Nov	500.00	5.0	
PATTEN & PATTEN	025	NSC	S	1,000	61.20	n/a	n/a	50.00	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	OXY	B	3,300	73.54	n/a	n/a	132.00	4.0
WELLSPRING CAPITAL	093	PETM	S	7,500	70.39	n/a	n/a	300.00	4.0
B BUCK CAPITAL MGMT		PII	S	50,000	81.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	50,000	81.75	n/a	n/a	non-brg	4.0
f CHRISTY FRANK	FID	PXP	B	340	43.69	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	RAD	B	300,000	0.98	n/a	n/a	15,000.00	0.0
SEVEN LOCKS CAPITAL	025	RHP	S	4,000	35.60	n/a	n/a	120.00	3.0
HIGHBRIDGE CAP	041	ROC	B	5,500	46.48	n/a	n/a	165.00	3.0
B BUCK CAPITAL MGMT		RYL	S	40,000	32.49	n/a	n/a	non-brg	4.0
CHILTON CAPITAL MGMT	031	SBUX	B	14,870	51.72	n/a	6-Dec	594.80	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	S	25,000	53.15	n/a	6-Dec	750.00	3.0
OZ MGMT	040	SBUX	S	75,000	53.27	n/a	6-Dec	2,250.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	25.15	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SNI	B	1,000	56.51	n/a	n/a	50.00	5.0
ACK ASSET	028	ST	B	50,000	30.84	n/a	n/a	1,500.00	0.0
SEVEN LOCKS CAPITAL	025	SWY	B	40,000	18.35	n/a	n/a	1,200.00	3.0
SAC CHICAGO ANDREW	031	TGT	SS	25,000	62.24	n/a	29-Nov	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		TITN	B	22,100	24.08	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TSCO	B	10,000	85.13	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		TSCO	B	50,000	85.13	n/a	n/a	non-brg	2.5
J. GOLDMAN	028	TSLA	S	33,600	34.22	n/a	n/a	1,344.00	4.0
PZENA INV ADV	044	UBS	B	5,575	15.98	n/a	n/a	195.13	0.0
MACELLUM CAPITAL	086	URBN	B	20,800	37.00	n/a	n/a	624.00	3.0
⌘ BUCK CAPITAL MGMT		VFC	S	20,000	153.18	n/a	23-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		VFC	S	20,000	153.18	n/a	23-Oct	non-brg	4.0
CAPITAL GROWTH MGMT.	241	WDC	B	120,000	36.26	n/a	n/a	6,000.00	5.0
LOMAS CAPITAL	040	WGO	S	35,800	13.71	n/a	n/a	1,074.00	3.0
J. GOLDMAN	028	XLI	B	54,000	37.13	n/a	n/a	1,620.00	3.0
TOTAL (Trade Date) :								84,058.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/05	HALCYON LLC	041	MMR	S	94,453	15.79	n/a	n/a	2833.59 3.0
AO,CXL	12/05	HALCYON LLC	041	MMR	S	100,000	15.79	n/a	n/a	3000.00 3.0
AO,	12/05	HALCYON LLC	041	MMR	S	5,547	15.79	n/a	n/a	166.41 0.0
AO,CXL	12/05	LONG OAR GLOBAL INV	040	SPF	SS	154,700	6.61	n/a	n/a	4641.00 3.0
AO,CRT	12/05	LONG POND	029	SPF	SS	154,700	6.61	n/a	n/a	4641.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	84,058.61
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	84,058.61
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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 6-Dec.
NONE

MRI Securities without Trade Activity on 6-Dec.
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)