



Daily Compliance Activity Report

Trade Date: 10/18/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| DAVIDSON KEMPNER ADVISOR | 040 | ACOM | S | 13,667 | 29.88 | n/a | n/a | 410.01 | 0.0 |
| FRED ALGER MGMT | 035 | AIG | S | 90,780 | 37.21 | n/a | n/a | 3,268.08 | 0.0 |
| COLUMBUS CIRCLE | 036 | ALGN | S | 9,700 | 27.10 | n/a | n/a | 388.00 | 0.0 |
| WEINTRAUB CAPITAL MGT. | 084 | AMGN | B | 25,000 | 88.96 | n/a | n/a | 1,000.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ASNA | C | 30,000 | 20.69 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ASNA | C | 30,000 | 20.69 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | AXP | B | 9,000 | 57.67 | n/a | 18-Oct | non-brg | 4.0 |
| PERIMETER | 273 | AZZ | B | 35,422 | 36.88 | n/a | n/a | 1,416.88 | 0.0 |
| NOKOMIS PARTNERS | 031 | BBOX | SS | 10,000 | 24.84 | n/a | n/a | 300.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | BBY | B | 10,000 | 17.34 | n/a | n/a | 300.00 | 0.0 |
| TEMAGAMI CAPITAL | 041 | BEE | B | 72,400 | 6.03 | n/a | n/a | 2,172.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | BTU | B | 16,700 | 27.48 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BTU | B | 20,000 | 27.43 | n/a | n/a | non-brg | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | BUD | S | 81,275 | 86.50 | n/a | 3-Oct | 2,438.25 | 0.0 |
| ARSENAL ASSET MANAGEMENT | 028 | BWA | B | 9,700 | 67.56 | n/a | 18-Oct | 388.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------------|-----|--------|-----|---------|-------|-----|-----------|--------------|-----|
| S.A.C. CAP/ORENSTEIN | 044 | CCL | B | 100,000 | 38.94 | n/a | n/a | 3,500.00 | 3.5 |
| ß BUCK CAPITAL MGMT | | CFR VX | SS | 9,150 | 65.01 | n/a | n/a | non-brg | 9.8 |
| ß BUCK CAPITAL MGMT | | CFR VX | SS | 9,150 | 65.01 | n/a | n/a | non-brg | 9.8 |
| ß BUCK CAPITAL MGMT | | CLD | B | 50,000 | 19.98 | n/a | n/a | non-brg | 4.0 |
| SASCO | 033 | CNX | B | 9,350 | 36.11 | n/a | n/a | 327.25 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | CP | S | 7,000 | 91.00 | n/a | n/a | 350.00 | 5.0 |
| f WILLIAM WEINBERG | FID | CRMBW | B | 80900 | 0.07 | n/a | n/a | 0.00 | 0.0 |
| MACELLUM CAPITAL | 086 | CROX | SS | 34,210 | 16.58 | n/a | n/a | 1,026.30 | 3.0 |
| ß BUCK CAPITAL MGMT | | DECK | S | 10,000 | 38.43 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DECK | S | 40,000 | 38.43 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DECK | S | 40,000 | 38.43 | n/a | n/a | non-brg | 4.0 |
| f PATRICK O'GRADY | FID | DECK | B | 20 | 39.21 | n/a | n/a | 0.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | DG | B | 10,000 | 48.14 | | n/a 5-Sep | 400.00 | 4.0 |
| f KATHERINE L O'GORMAN | FID | DLA | B | 1000 | 14.55 | n/a | n/a | 0.00 | 0.0 |
| f MARK ANTHONY GRONET | FID | DLA | B | 1000 | 14.56 | n/a | n/a | 0.00 | 0.0 |
| CAISSE DEPOT PLACEMENT Q | 257 | DLLR | B | 10,000 | 16.90 | n/a | n/a | 400.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | DOV | SS | 70,000 | 57.71 | n/a | n/a | 2,800.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | DOV | B | 10,000 | 57.69 | | n/a n/a | 400.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|------------|----------------|------------|
| CAISSE DEPOT PLACEMENT Q | 257 | DOX | SS | 13,000 | 32.75 | n/a | n/a | 390.00 | 3.0 |
| GLOBAL 56 LLC | 060 | DSX | S | 3,500 | 7.20 | n/a | n/a | 105.00 | 3.0 |
| B BUCK CAPITAL MGMT | | EBAY | S | 25,000 | 50.25 | n/a | n/a | non-brg | 4.0 |
| CRAMER ROSENTHAL | 070 | EMC | B | 59,650 | 25.08 | n/a | n/a | 2,386.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | FBC | B | 700 | 14.31 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | FBC | B | 2000 | 14.28 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | FCFS | B | 8,048 | 44.97 | n/a | n/a | 321.92 | 0.0 |
| ROYCE TRADING | 031 | FINL | B | 13,000 | 20.76 | n/a | 28-Sep | 650.00 | 0.0 |
| OZ MGMT | 040 | F | S | 350,000 | 10.39 | n/a | 18-Oct | 10,500.00 | 0.0 |
| LONG OAR GLOBAL INV | 040 | GM | B | 31,307 | 25.52 | n/a | 18-Oct | 1,252.28 | 4.0 |
| OSKIE CAPITAL MGMT | 224 | GM | B | 42,000 | 25.43 | n/a | 18-Oct | 2,100.00 | 5.0 |
| CR INTRINSIC/CHRIS C | 041 | GT | B | 5,000 | 12.69 | n/a | n/a | 175.00 | 3.5 |
| KLEINHEINZ CAP PART | 031 | HON | S | 100,000 | 61.30 | n/a | 5-Oct | 5,000.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | HOV | S | 5000 | 4.14 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | HOV | S | 5000 | 4.14 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | HTRRT | S | 1508 | 0.66 | n/a | n/a | 0.00 | 0.0 |
| CR INTRINSIC/CHRIS C | 041 | HTZ | B | 2,500 | 14.68 | n/a | n/a | 87.50 | 3.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|-----|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| BALYASNY ASSET MGMT | 044 | IP | S | 25,000 | 38.17 | n/a | 15-Oct | 1,250.00 | 0.0 |
| EVERGREEN | 047 | IWM | B | 12,830 | 83.71 | n/a | n/a | 513.20 | 0.0 |
| EVERGREEN | 047 | IWS | B | 41,909 | 50.01 | n/a | n/a | 1,676.36 | 0.0 |
| B BUCK CAPITAL MGMT | | JBLU | B | 100,000 | 5.30 | n/a | n/a | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | JIVE | B | 40,000 | 12.25 | n/a | n/a | non-brg | 4.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | KSS | S | 25,000 | 53.53 | n/a | 17-Oct | 750.00 | 3.0 |
| CASTLEROCK | 040 | LNCO | S | 10,000 | 38.92 | n/a | n/a | 400.00 | 4.0 |
| CATAPULT/KGLT | 040 | LNG | B | 25,000 | 16.01 | n/a | n/a | 1,000.00 | 4.0 |
| SCOPUS FUND | 041 | LPX | B | 25,000 | 15.91 | n/a | 15-Oct | 1,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LVS | B | 5,800 | 46.09 | n/a | 13-Jun | non-brg | 4.0 |
| CASTLEROCK | 040 | MCD | SS | 2,500 | 93.37 | n/a | 12-Oct | 100.00 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | MCD | SS | 25,000 | 92.77 | n/a | 12-Oct | 750.00 | 3.0 |
| B BUCK CAPITAL MGMT | | MGM | C | 34,400 | 11.54 | n/a | 13-Jun | non-brg | 4.0 |
| ARSENAL ASSET MANAGEMENT | 028 | MLM | S | 15,000 | 85.17 | n/a | n/a | 600.00 | 0.0 |
| MACELLUM CAPITAL | 086 | MNRO | B | 16,900 | 33.65 | n/a | n/a | 507.00 | 3.0 |
| IVORY CAPITAL | 034 | MSFT | S | 105,000 | 29.55 | n/a | n/a | 5,250.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | MTOR | B | 50,000 | 4.50 | n/a | n/a | non-brg | 0.8 |
| ⚡ BUCK CAPITAL MGMT | | MW | SS | 10,000 | 33.95 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | M | S | 20,000 | 40.91 | n/a | 5-Oct | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | M | S | 20,000 | 40.91 | n/a | 5-Oct | non-brg | 4.0 |
| WEINTRAUB CAPITAL MGT. | 084 | NKE | B | 25,000 | 97.91 | n/a | 28-Sep | 1,000.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | NOK | B | 20,000 | 2.82 | n/a | n/a | 800.00 | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | NOV | S | 38,000 | 81.99 | n/a | n/a | 1,520.00 | 0.0 |
| ⚡ MANNY I KORMAN | FID | NUAN | S | 12000 | 22.82 | n/a | n/a | 0.00 | 0.0 |
| BNP PARIBAS SEC | 040 | OC | S | 10,000 | 32.15 | n/a | n/a | 300.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | ORLY | SS | 15,000 | 80.00 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ORLY | SS | 15,000 | 80.00 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PCLN | C | 1,000 | 580.28 | n/a | n/a | non-brg | 1.0 |
| ⚡ YANAI A FRANK | FID | PDH | B | 900 | 13.69 | n/a | n/a | 0.00 | 0.0 |
| FRED ALGER MGMT | 035 | ROST | B | 53,850 | 62.78 | n/a | 5-Oct | 1,938.60 | 0.0 |
| CAISSE DEPOT PLACEMENT Q | 257 | SCHW | SS | 100,000 | 13.59 | n/a | n/a | 4,000.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | SCSS | S | 100,000 | 29.94 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|------------|
| ⌘ BUCK CAPITAL MGMT | | SCSS | S | 125,000 | 29.79 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SCSS | S | 75,000 | 29.75 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SKX | S | 15,000 | 17.88 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SKX | S | 5,000 | 17.75 | n/a | n/a | non-brg | 0.8 |
| f JASON ERIC COHEN | FID | STLY | B | 680 | 4.46 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | SUMR | S | 45,000 | 1.41 | n/a | n/a | non-brg | 0.5 |
| ⌘ BUCK CAPITAL MGMT | | SUMR | S | 45,000 | 1.41 | n/a | n/a | non-brg | 0.5 |
| SAC CHICAGO ANDREW | 031 | SWY | SS | 150,000 | 16.51 | n/a | n/a | 5,250.00 | 3.5 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 | | S | B | 10,000 | 5.78 | | n/a | n/a | 200.00 2.0 |
| ⌘ BUCK CAPITAL MGMT | | TITN | B | 28,000 | 22.65 | n/a | n/a | non-brg | 1.0 |
| CRAMER ROSENTHAL | 070 | TXT | C | 13,855 | 25.70 | n/a | n/a | 554.20 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | UHR VX | SS | 1,550 | 418.87 | n/a | n/a | non-brg | 62.8 |
| ⌘ BUCK CAPITAL MGMT | | UHR VX | SS | 1,550 | 418.87 | n/a | n/a | non-brg | 62.8 |
| LOMAS CAPITAL | 040 | WGO | B | 50,000 | 12.87 | n/a | n/a | 1,500.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | WMT | SS | 50,000 | 76.27 | n/a | 11-Oct | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | WMT | SS | 50,000 | 76.27 | n/a | 11-Oct | non-brg | 4.0 |
| SCOPUS FUND | 041 | WY | B | 30,411 | 28.57 | n/a | 15-Oct | 1,216.44 | 4.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 | | YHOO | B | 25,000 | 16.01 | | n/a | n/a | 500.00 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|--------|-----|--------|-------|-----|-----------|-------------|-----|
| LOMAS CAPITAL | 040 | YUM | SS | 22,200 | 71.56 | n/a | 11-Oct | 666.00 | 3.0 |
| 8 BUCK CAPITAL MGMT | | ZUMZ | S | 40,000 | 26.69 | n/a | n/a | non-brg | 4.0 |
| TOTAL (Trade Date): | | | | | | | 77,494.27 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| AO, | 10/17 | NORTHWESTERN MUTUAL LIFE | 047 | EBAY | B | 113,600 | 48.30 | n/a | n/a | 4544.00 | 0.0 |
| AO,CRT | 10/17 | CAISSE DEPOT PLACEMENT Q | 257 | FTNT | B | 20,000 | 19.98 | n/a | n/a | 600.00 | 3.0 |
| AO,CXL | 10/17 | CAISSE DEPOT PLACEMENT Q | 257 | FTNT | B | 20,000 | 19.98 | n/a | n/a | 1000.00 | 5.0 |
| AO,CRT | 10/17 | LISTED ERR | 099 | VMI | SS | 3,700 | 132.90 | n/a | n/a | 0.00 | 0.0 |

TOTAL (AO, CXL, CRT) :**4,144.00**

TOTAL (Trade Date) :**77,494.27****TOTAL (AO, CXL, CRT) :****4,144.00**

TOTAL (RUN DATE) / NFS:**81,638.27**

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|--------------------|--------|-----|--------|-------|-----|----------|-------------|
| CXL | 10/17 | BUCK CAPITAL MGMT. | IWO | SS | 22,000 | 95.98 | n/a | n/a | 440.00 |
| CRT | 10/17 | BUCK CAPITAL MGMT | IWO | SS | 22,000 | 95.95 | n/a | n/a | 440.00 2.0 |

MRI Securities with Trade Activity on 18-Oct.
NONE

MRI Securities without Trade Activity on 18-Oct.
KORS, PNRA, CAKE

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)