



Daily Compliance Activity Report

Trade Date: 10/15/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| f JASON ERIC COHEN | FID | ARR | B | 400 | 6.83 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | ARR | B | 10000 | 6.79 | n/a | n/a | 0.00 | 0.0 |
| 1798 CAP/LOMBARD ASSET | 040 | ASH | S | 8,000 | 68.34 | n/a | 26-Sep | 400.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | AXL | B | 20,000 | 11.74 | n/a | 3-Oct | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AXP | B | 8,700 | 57.61 | n/a | 15-Oct | non-brg | 4.0 |
| BRONSON POINT | 036 | BA | B | 50,000 | 72.20 | n/a | 5-Oct | 1,500.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CAKE | SS | 30,000 | 34.35 | n/a | 4-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | CAKE | SS | 30,000 | 34.35 | n/a | 4-Oct | non-brg | 4.0 |
| HEIGHTS CAPITAL | 251 | CHRW | B | 20,740 | 60.25 | n/a | n/a | 829.60 | 0.0 |
| BTG PACTUAL | 040 | CIE | B | 10,000 | 20.80 | n/a | n/a | 300.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | COF | B | 35,000 | 57.41 | n/a | 15-Oct | 1,750.00 | 5.0 |
| B BUCK CAPITAL MGMT | | COH | S | 40,000 | 55.41 | n/a | 1-Aug | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COH | S | 40,000 | 55.49 | n/a | 1-Aug | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COST | C | 18,300 | 97.67 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DG | B | 50,000 | 49.23 | n/a | 5-Sep | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DG | B | 50,000 | 49.23 | n/a | 5-Sep | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | DKS | B | 20,000 | 50.08 | n/a | 17-Sep | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DLTR | S | 50,000 | 40.43 | n/a | 12-Oct | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DLTR | S | 50,000 | 40.43 | n/a | 12-Oct | non-brg | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | DLTR | B | 50,000 | 41.31 | n/a | 12-Oct | 1,500.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | DPZ | SS | 10,000 | 38.51 | n/a | 12-Oct | 500.00 | 0.0 |
| KAM ADVISORS LLC | 041 | EMN | B | 46,300 | 55.26 | n/a | n/a | 1,389.00 | 0.0 |
| f JASON ERIC COHEN | FID | ESSX | B | 600 | 3.09 | n/a | n/a | 0.00 | 0.0 |
| f IAN L MILLER | FID | FBC | S | 100 | 13.07 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | FDO | B | 20,000 | 66.46 | n/a | 4-Oct | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | FDO | B | 20,000 | 66.46 | n/a | 4-Oct | non-brg | 4.0 |
| ROYCE TRADING | 031 | FINL | B | 7,399 | 20.91 | n/a | 28-Sep | 369.95 | 0.0 |
| HEIGHTS CAPITAL | 251 | GEF | SS | 16,089 | 42.87 | n/a | n/a | 643.56 | 0.0 |
| LOCUST WOOD CAPITAL MGMT | 044 | GM | B | 27,295 | 24.50 | n/a | 3-Oct | 1,091.80 | 4.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | GPN | S | 7,500 | 43.08 | n/a | n/a | 225.00 | 0.0 |
| BASSWOOD PARTNERS | 267 | HOG | B | 12,800 | 41.70 | n/a | n/a | 512.00 | 0.0 |
| TRUSTCO/SUNTRUST (CEREDEX) | 273 | INTC | S | 135,550 | 21.68 | n/a | n/a | 4,337.60 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | IPG | S | 100,000 | 11.27 | n/a | n/a | 5,000.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| EATON VANCE MGMT | 029 | JNJ | S | 15,000 | 68.26 | n/a | n/a | 450.00 | 0.0 |
| TRUSTCO/SUNTRUST (CEREDEX) | 273 | JNJ | B | 18,050 | 68.73 | | n/a | 577.60 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | JPM | B | 10,000 | 41.88 | n/a | 12-Oct | 500.00 | 5.0 |
| CR INTRINIC INVESTMENT | 044 | JWN | B | 30,000 | 55.68 | n/a | 5-Oct | 1,050.00 | 3.5 |
| CRAMER ROSENTHAL | 070 | KO | B | 24,500 | 38.07 | 15-Oct | 15-Oct | 980.00 | 0.0 |
| FINDLAY PARK PART | 085 | LAZ | S | 114,000 | 28.29 | n/a | 5-Oct | 4,838.14 | 0.0 |
| BNP PARIBAS SEC | 040 | LEN | S | 10,000 | 36.84 | n/a | n/a | 300.00 | 3.0 |
| HEIGHTS CAPITAL | 251 | LLL | B | 17,356 | 72.63 | n/a | n/a | 694.24 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | LL | C | 28,208 | 49.69 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | LL | C | 52,492 | 49.69 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | LOW | C | 100,000 | 31.80 | n/a | 20-Aug | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | LOW | C | 100,650 | 31.89 | n/a | 20-Aug | non-brg | 4.0 |
| JP MORGAN VENTURES | 046 | LOW | S | 20,000 | 31.88 | n/a | 20-Aug | 800.00 | 4.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | LRCX | S | 25,500 | 32.49 | n/a | n/a | 765.00 | 0.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | MFA | B | 49,800 | 8.01 | n/a | n/a | 1,494.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | MGM | SS | 100,000 | 10.30 | n/a | 13-Jun | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | MW | SS | 45,000 | 32.85 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------------|-----------|---------------|--------------|------------|------------|----------------|--------------|
| HEIGHTS CAPITAL | 251 | NOC | SS | 20,410 | 69.25 | n/a | 30-Jul | 816.40 | 0.0 |
| CRAMER ROSENTHAL | 070 | OC | B | 93,730 | 30.35 | n/a | n/a | 3,749.20 | 0.0 |
| HEIGHTS CAPITAL | 251 | OI | B | 25,870 | 19.96 | n/a | n/a | 1,034.80 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | ORLY | SS | 135,000 | 82.62 | n/a | n/a | 6,750.00 | 5.0 |
| HEIGHTS CAPITAL | 251 | PCAR | SS | 18,850 | 40.22 | n/a | 12-Oct | 754.00 | 0.0 |
| EATON VANCE MGMT | 029 | PFE | S | 50,000 | 25.26 | n/a | n/a | 1,500.00 | 0.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | PGR | S | 14,000 | 22.13 | n/a | n/a | 420.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | PIR | B | 10,700 | 19.19 | n/a | n/a | 428.00 | 0.0 |
| JET CAPITAL/CHRIS | 041 | PLXT | C | 21,153 | 4.78 | n/a | n/a | 634.59 | 0.0 |
| f EDWARD W WHEELER | FID | PNR | S | 922 | 43.48 | n/a | n/a | 0.00 | 0.0 |
| RIVERPARK CAPITAL | 025 | RATE | B | 2,400 | 14.10 | n/a | n/a | 120.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | RSE | B | 4,300 | 14.88 | n/a | n/a | 172.00 | 0.0 |
| B BUCK CAPITAL MGMT | | RUSHA | B | 20,000 | 18.50 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SCSS 10 C35 | SS | 925 | 0.92 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | SCSS 10 C35 | SS | 925 | 0.92 | n/a | n/a | non-brg | 100.0 |
| SCOPUS FUND | 041 | SCVL | S | 15,000 | 23.80 | n/a | n/a | 600.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|--------------|-----|
| ⚡ BUCK CAPITAL MGMT | | SSI | SS | 20,000 | 23.26 | n/a | n/a | non-brg | 4.0 |
| ⚡ MARC PAUL LUCHANSKY | FID | STSI | B | 1000 | 3.34 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | STZ | SS | 20,000 | 35.19 | n/a | n/a | 600.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | SUMR | S | 20,550 | 1.44 | n/a | n/a | non-brg | 0.5 |
| ⚡ BUCK CAPITAL MGMT | | SUMR | S | 20,550 | 1.44 | n/a | n/a | non-brg | 0.5 |
| ARSENAL ASSET MANAGEMENT | 028 | SWK | B | 15,000 | 71.09 | n/a | n/a | 600.00 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | SXC | B | 1,400 | 16.23 | n/a | n/a | 70.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | TDG | SS | 20,000 | 148.36 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TGT | C | 30,000 | 61.95 | n/a | 4-Oct | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TJX | S | 20,000 | 43.36 | n/a | 5-Oct | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | TJX | B | 25,000 | 42.82 | n/a | 5-Oct | 875.00 | 3.5 |
| COBALT | 041 | UAL | B | 200,000 | 20.34 | n/a | n/a | 8,000.00 | 0.0 |
| OSKIE CAPITAL MGMT | 224 | WBC | S | 6,000 | 56.88 | n/a | 29-Aug | 300.00 | 5.0 |
| ⚡ MANNY I KORMAN | FID | WCRX | S | 5000 | 12.93 | n/a | 15-Oct | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | WFC | B | 100,000 | 33.77 | n/a | 15-Oct | 4,000.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | WSM | C | 18,620 | 45.92 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|--------|-----|--------|-------|-----|----------|------------------|-----|
| B BUCK CAPITAL MGMT | | WSM | C | 31,322 | 46.11 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WSM | C | 50,000 | 45.91 | n/a | n/a | non-brg | 4.0 |
| SCOPUS FUND | 041 | WY | B | 30,411 | 27.14 | n/a | 15-Oct | 1,216.44 | 0.0 |
| KAM ADVISORS LLC | 041 | XLE | C | 58,200 | 72.74 | n/a | n/a | 1,746.00 | 0.0 |
| SUFFOLK CAPITAL MGMT | 040 | YUM | B | 86,600 | 70.11 | n/a | 11-Oct | 3,464.00 | 0.0 |
| NEW JERSEY DIV OF INV. | 030 | ZAGG | B | 30,000 | 8.07 | n/a | n/a | 900.00 | 3.0 |
| TUDOR INVESTORS | 028 | ZUMZ | SS | 12,500 | 26.75 | n/a | n/a | 375.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 72,722.92 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 10/12 | S.A.C. CAP/ORENSTEIN | 044 | DOV | B | 34,200 | 55.30 | n/a | n/a | 1197.00 3.5 |
| AO,CRT | 10/12 | S.A.C. CAP/ORENSTEIN | 044 | DOV | B | 34,200 | 55.30 | n/a | n/a | 1197.00 3.5 |

| | |
|-------------------------------|-------------|
| TOTAL (AO, CXL, CRT) : | 0.00 |
|-------------------------------|-------------|

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 72,722.92 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

| | |
|--------------------------------|------------------|
| TOTAL (RUN DATE) / NFS: | 72,722.92 |
|--------------------------------|------------------|

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 15-Oct.

KO

MRI Securities without Trade Activity on 15-Oct.

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)