



Daily Compliance Activity Report

Trade Date: 11/20/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|---------------|------------|---------------|----------------|------------|
| f DAEIL CHA | FID | AAPL | B | 1 | 563.37 | n/a | n/a | 0.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | ABX | S | 10,000 | 34.34 | n/a | n/a | 400.00 | 4.0 |
| ROYCE TRADING | 031 | AEO | B | 6,700 | 19.08 | n/a | 2-Dec | 335.00 | 0.0 |
| 1798 CAP/LOMBARD ASSET | 040 | AGO | B | 150,000 | 13.22 | n/a | n/a | 7,500.00 | 0.0 |
| PZENA INV ADV | 044 | AIG | B | 2,525 | 32.30 | n/a | n/a | 88.38 | 0.0 |
| HOTCHKIS & WILEY | 035 | ALL | S | 97,400 | 39.88 | n/a | n/a | 1,948.00 | 0.0 |
| KLEINHEINZ CAP PART | 031 | ANW | S | 75,000 | 4.72 | n/a | n/a | 3,750.00 | 5.0 |
| f BRIAN P CLIFFORD | FID | BBY | S | 1000 | 11.81 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BIG | SS | 30,000 | 27.63 | n/a | 23-Aug | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | BTU | B | 20,000 | 25.28 | n/a | n/a | non-brg | 4.0 |
| NWQ INVESTMENT MGMT CO | 084 | CASY | S | 2,150 | 46.41 | n/a | n/a | 64.50 | 0.0 |
| ADAGE CAPITAL MGMT | 030 | CHS | SS | 160,000 | 17.91 | n/a | 5-Feb | 4,800.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | CLW | S | 5,000 | 38.83 | n/a | n/a | 175.00 | 0.0 |
| LOMAS CAPITAL | 040 | CNW | B | 30,000 | 27.05 | n/a | n/a | 900.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| Ⓕ BUCK CAPITAL MGMT | | COH | B | 30,000 | 57.30 | n/a | 5-Nov | non-brg | 4.0 |
| Ⓕ MANNY I KORMAN | FID | CROX | B | 10000 | 12.43 | n/a | n/a | 0.00 | 0.0 |
| SANDLER CAPITAL | 028 | CVD | B | 65,000 | 55.63 | n/a | n/a | 3,250.00 | 0.0 |
| BTG PACTUAL | 040 | DAL | B | 10,000 | 9.69 | n/a | 19-Nov | 300.00 | 3.0 |
| SANDLER O'NEILL ASSET | 031 | DFS | SS | 25,000 | 41.35 | n/a | 15-Nov | 1,250.00 | 5.0 |
| Ⓕ BUCK CAPITAL MGMT | | DG | S | 25,000 | 47.74 | n/a | 20-Nov | non-brg | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | DG | S | 25,000 | 47.74 | n/a | 20-Nov | non-brg | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | DG | S | 25,000 | 47.77 | n/a | 20-Nov | non-brg | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | DG | S | 25,000 | 47.77 | n/a | 20-Nov | non-brg | 4.0 |
| GLENHILL CAPITAL | 036 | DKS | SS | 50,000 | 51.42 | n/a | 13-Nov | 2,500.00 | 0.0 |
| LISTED ERR | 099 | DKS | B | 13,880 | 51.46 | n/a | 13-Nov | 0.00 | 0.0 |
| LISTED ERR | 099 | DKS | S | 13,880 | 51.46 | n/a | 13-Nov | 0.00 | 0.0 |
| Ⓕ BUCK CAPITAL MGMT | | DSW | S | 30,000 | 67.37 | n/a | 11-Feb | non-brg | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | DSW | S | 30,000 | 67.37 | n/a | 11-Feb | non-brg | 4.0 |
| MATRIX ASSET ADV. | 091 | EMR | B | 1,000 | 48.34 | n/a | n/a | 40.00 | 4.0 |
| GLENHILL CAPITAL | 036 | ETH | B | 22,500 | 29.06 | n/a | n/a | 1,125.00 | 0.0 |
| GALT INVESTMENT | 041 | EXPR | S | 25,000 | 11.55 | n/a | n/a | 1,250.00 | 5.0 |
| EPOCH INV MGMT | 030 | FLO | S | 78,189 | 22.18 | n/a | n/a | 2,345.67 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------------|------------|--------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| LATEEF MGMT | 035 | FMER | B | 1,000 | 13.58 | n/a | n/a | 100.00 | 10.0 |
| B BUCK CAPITAL MGMT | | FNP | B | 124,600 | 11.63 | n/a | n/a | non-brg | 4.0 |
| f DANIEL R SCHWARZWALD | FID | FNSXX | S | 500000 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | FOR | S | 5,000 | 14.09 | n/a | 8-Nov | 175.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GCO | S | 10,000 | 55.97 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GCO | S | 20,000 | 55.96 | n/a | n/a | non-brg | 4.0 |
| KENNEDY CAPITAL | 046 | GCO | B | 10,000 | 56.76 | n/a | n/a | 400.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | GES | S | 4,300 | 23.60 | n/a | 18-Oct | 150.50 | 0.0 |
| KLEINHEINZ CAP PART | 031 | GIL | S | 31,942 | 33.28 | n/a | 18-Oct | 1,597.10 | 5.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 | GM | | S | 25,000 | 24.62 | | n/a 15-Nov | 1,000.00 | 4.0 |
| LEVIN CAPITAL STRATEGIES | 041 | GM | S | 10,000 | 24.78 | n/a | 15-Nov | 300.00 | 0.0 |
| LONG OAR GLOBAL INV | 040 | GM | B | 97,653 | 24.88 | n/a | 15-Nov | 3,906.12 | 4.0 |
| f LBP ENTERPRISES INC | FID | HAR | B | 1000 | 38.32 | n/a | 3-Feb | 0.00 | 0.0 |
| f LEE F BACKUS | FID | HAR | B | 1000 | 38.32 | n/a | 3-Feb | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | HD | B | 15 | 0.51 | n/a | 16-Nov | 0.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | HES | S | 10,000 | 49.88 | n/a | n/a | 400.00 | 4.0 |
| CHARTER OAK | 033 | HOLX | B | 25,000 | 19.30 | n/a | n/a | 1,250.00 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 25,000 | 35.38 | n/a | 25-Oct | 1,250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|--------------|--------------|------------|---------------|-------------|------------|
| f CHRISTY FRANK | FID | IR | S | 750 | 47.01 | n/a | 19-Oct | 0.00 | 0.0 |
| SYMPHONY ASSET | 033 | IWM | SS | 28,880 | 78.90 | n/a | n/a | 866.40 | 0.0 |
| FINDLAY PARK PART | 085 | JCI | S | 304,000 | 26.13 | n/a | 31-Oct | 15,200.00 | 5.0 |
| f FRANCIS MICHAEL MCCA | FID | KORS | B | 200 | 51.03 | n/a | 14-Nov | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | LCC | B | 10000 | 12.49 | n/a | 19-Nov | 0.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | LEN | B | 421,900 | 38.09 | n/a | n/a | 21,095.00 | 5.0 |
| f DOUGLAS ROGERS | FID | LGND | B | 129 | 18.97 | n/a | n/a | 0.00 | 0.0 |
| PNC CAPITAL ADV | 028 | MCD | S | 47,095 | 85.72 | n/a | 8-Nov | 1,883.80 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | MKSI | S | 2,800 | 23.66 | n/a | n/a | 84.00 | 0.0 |
| PNC CAPITAL ADV | 028 | MSFT | S | 27,964 | 26.60 | n/a | n/a | 1,118.56 | 0.0 |
| f DAVID GEORGE BUCK | FID | M | B | 1000 | 40.65 | n/a | 8-Nov | 0.00 | 0.0 |
| SCOPUS FUND | 041 | M | SS | 15,000 | 40.94 | n/a | 8-Nov | 600.00 | 4.0 |
| SIMMONS VENTURES | 041 | M | SS | 5,000 | 40.85 | n/a | 8-Nov | 200.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | NOK | S | 20,000 | 2.96 | n/a | n/a | 800.00 | 4.0 |
| f WILLIAM J GAULT | FID | NQJ | S | 2000 | 16.11 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | NXJ | S | 2000 | 16.43 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| NWQ INVESTMENT MGMT CO | 084 | ORB | S | 5,800 | 12.48 | n/a | n/a | 203.00 | 0.0 |
| SCOPUS FUND | 041 | PAG | B | 25,000 | 28.34 | n/a | 5-Nov | 1,000.00 | 4.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | PCS | B | 20,000 | 10.60 | n/a | n/a | 600.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PLCE | S | 20,000 | 47.77 | n/a | 15-Nov | non-brg | 4.0 |
| NWQ INVESTMENT MGMT CO | 084 | RDEN | S | 3,200 | 45.22 | n/a | 9-Nov | 96.00 | 0.0 |
| HOTCHKIS & WILEY | 035 | RF | S | 93,100 | 6.60 | n/a | n/a | 4,655.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | RGA | S | 1,600 | 49.40 | n/a | n/a | 56.00 | 0.0 |
| HOPLITE MGMT | 025 | RIMM | SS | 100,000 | 9.99 | n/a | n/a | 4,000.00 | 0.0 |
| B BUCK CAPITAL MGMT | | RLGY | B | 20,000 | 36.89 | n/a | n/a | non-brg | 2.5 |
| CAERUS GLOBAL | 041 | RLGY | B | 22,000 | 36.71 | n/a | n/a | 880.00 | 4.0 |
| BAIRD INVESTMENT | 047 | ROK | B | 8,650 | 78.00 | n/a | n/a | 432.50 | 0.0 |
| KENNEDY CAPITAL | 046 | RUE | B | 3,123 | 28.00 | n/a | n/a | 124.92 | 0.0 |
| GLENHILL CAPITAL | 036 | SAPE | S | 14,881 | 10.62 | n/a | n/a | 744.05 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | SBUX | S | 300 | 49.95 | n/a | 15-Nov | 0.00 | 0.0 |
| OZ MGMT | 040 | SBUX | B | 15,000 | 49.93 | n/a | 15-Nov | 450.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SHOO | B | 20,000 | 43.12 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f MARGARET ANNE MCAULE | FID | SQBG | B | 1000 | 5.00 | n/a | n/a | 0.00 | 0.0 |
| f CICILY S BACKUS | FID | SRC | B | 1000 | 15.84 | n/a | n/a | 0.00 | 0.0 |
| f DANIEL R SCHWARZWALD | FID | SRC | B | 10000 | 15.89 | n/a | n/a | 0.00 | 0.0 |
| f LBP ENTERPRISES INC | FID | SRC | B | 4000 | 15.84 | n/a | n/a | 0.00 | 0.0 |
| f LEE F BACKUS | FID | SRC | B | 1000 | 15.84 | n/a | n/a | 0.00 | 0.0 |
| f LEE F BACKUS | FID | SRC | B | 3000 | 15.84 | n/a | n/a | 0.00 | 0.0 |
| f SNEJANA P GARFUNKEL | FID | SRC | B | 2000 | 15.84 | n/a | n/a | 0.00 | 0.0 |
| OTTER CREEK MGMT | 093 | TLAB | S | 168,619 | 2.82 | n/a | n/a | 3,372.38 | 2.0 |
| NWQ INVESTMENT MGMT CO | 084 | TRS | S | 3,300 | 23.57 | n/a | n/a | 99.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | TR | S | 5,000 | 26.25 | n/a | n/a | 200.00 | 4.0 |
| STANDARD PACIFIC CAPITAL | 084 | ULTA | S | 39,746 | 88.74 | n/a | n/a | 1,987.30 | 5.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 60,000 | 36.95 | n/a | n/a | non-brg | 4.0 |
| HARVEST MGMT (JMP) | 029 | URBN | B | 30,000 | 36.88 | n/a | n/a | 1,200.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | URBN | B | 14,897 | 36.30 | n/a | n/a | 595.88 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | WAL | S | 5,700 | 10.08 | n/a | n/a | 199.50 | 0.0 |
| f DAVID GEORGE BUCK | FID | WMT | B | 1000 | 68.87 | n/a | 15-Nov | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | WSH | S | 1,100 | 34.02 | n/a | n/a | 38.50 | 0.0 |
| SYMPHONY ASSET | 033 | XRT | C | 31,910 | 61.51 | n/a | n/a | 957.30 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | YUM | B | 200 | 72.20 | n/a | 11-Oct | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|---------------------|-----|--------|-----|---------|-------|-----|----------|--------------|
| B BUCK CAPITAL MGMT | | ZLC | B | 140,200 | 7.34 | n/a | n/a | non-brg 3.0 |
| B BUCK CAPITAL MGMT | | ZLC | B | 9,800 | 7.32 | n/a | n/a | non-brg 2.0 |
| TOTAL (Trade Date): | | | | | | | | 106,289.36 |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-----------------|
| AO, | 11/19 | ROYCE TRADING | 031 | AEO | B | 30,100 | 18.73 | n/a | 2-Dec | 1505.00 0.0 |
| AO,CRT | 11/19 | PATTEN & PATTEN | 025 | CNI | S | 200 | 85.19 | n/a | n/a | 10.00 5.0 |
| AO,CXL | 11/19 | PATTEN & PATTEN | 025 | CNR | S | 200 | 85.19 | n/a | n/a | 10.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 1,505.00 |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 106,289.36 |
| TOTAL (AO, CXL, CRT) : | 1,505.00 |

| | |
|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 107,794.36 |
|---------------------------------|-------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------|-------|-------------------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO | 11/19 | BUCK CAPITAL MGMT | HBC CN | B | 60,000 | 17.06 | n/a | n/a | 0.00 | 0.0 |
| AO | 11/19 | BUCK CAPITAL MGMT | HBC CN | B | 120,000 | 17.06 | n/a | n/a | 0.00 | 0.0 |
| AO | 11/19 | BUCK CAPITAL MGMT | HBC CN | B | 120,000 | 17.06 | n/a | n/a | 0.00 | 0.0 |

MRI Securities with Trade Activity on 20-Nov.
NONE

MRI Securities without Trade Activity on 20-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)