



Daily Compliance Activity Report

Trade Date: 12/07/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ANF	B	128,000	46.25	n/a	15-Nov	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	192,000	46.25	n/a	15-Nov	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	60,000	45.83	n/a	15-Nov	non-brg	4.0
BUCK CAPITAL MGMT		APC	S	19,652	76.05	n/a	6-Dec	non-brg	4.0
TUDOR INVESTORS	028	ARG	S	5,000	89.64	n/a	6-Dec	150.00	3.0
REUBEN D DVORETSKY	FID	ATK	S	38	61.80	n/a	n/a	0.00	0.0
G WEISS /IAN	025	AVP	SS	15,000	14.52	n/a	6-Nov	600.00	0.0
KAREN F LEDDY	FID	AXL	B	1000	10.36	n/a	2-Nov	0.00	0.0
PZENA INV ADV	044	BHI	B	5,000	42.20	n/a	n/a	175.01	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	7,500	17.09	n/a	n/a	225.00	3.0
PARKWEST	084	CALX	B	23,875	7.15	n/a	n/a	716.25	3.0
SCOPUS FUND	041	CMI	B	15,000	101.91	n/a	n/a	600.00	4.0
TROUBH PART	070	COH	S	10,000	57.95	n/a	5-Nov	500.00	5.0
BOW STREET LLC	044	CROX	B	20,000	13.75	n/a	n/a	800.00	0.0
BUCK CAPITAL MGMT		DECK	SS	20,000	43.38	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DELL	S	304,974	10.46	n/a	n/a	9,149.22	0.0
B BUCK CAPITAL MGMT		DIA	SS	45,000	131.20	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DKS	B	10,000	50.45	n/a	13-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	30,000	50.45	n/a	13-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	40,000	50.35	n/a	13-Nov	non-brg	4.0
f PATRICK O'GRADY	FID	EMMS	S	900	1.75	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ESL	B	9,500	61.69	n/a	n/a	380.00	4.0
f DANIEL JORDAN COHEN	FID	ESSX	B	621	3.22	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	ESSX	B	700	3.10	n/a	n/a	0.00	0.0
M&I FUNDS	047	FCX	S	64,628	31.83	n/a	n/a	2,585.12	4.0
PAULSON & CO INC	041	FCX	B	700,000	32.03	n/a	n/a	21,000.00	0.0
f CHRISTOPHER ROBERT C	FID	FDIVX	B	34	29.37	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FRAN	B	300	23.78	n/a	n/a	0.00	0.0
f REUBEN D DVORETSKY	FID	FRO	S	380	3.24	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	F	S	32,500	11.46	n/a	4-Dec	1,625.00	5.0
OZ MGMT	040	F	C	175,000	11.44	n/a	4-Dec	5,250.00	0.0
B BUCK CAPITAL MGMT		GCO	S	50,000	54.96	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	GCO	S	11,500	55.19	n/a	n/a	460.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	GD	S	4,555	66.60	n/a	16-Nov	182.20	4.0
f REUBEN D DVORETSKY	FID	GES	B	85	26.15	n/a	29-Nov	0.00	0.0
VISIUM/BALY BOBBY	044	GE	B	45,000	21.45	n/a	n/a	2,250.00	0.0
B BUCK CAPITAL MGMT		GIL	B	30,000	35.21	n/a	30-Nov	non-brg	4.0
f KAREN F LEDDY	FID	GM	B	400	24.99	n/a	4-Dec	0.00	0.0
MILLENNIUM PARTNERS ICSUS/BAHN028	GS		B	3,600	116.92	n/a	4-Dec	144.00	0.0
TUDOR INVESTORS	028	HOTT	B	50,000	9.98	n/a	n/a	1,500.00	3.0
SAC CHICAGO ANDREW	031	JWN	SS	10,000	52.76	n/a	30-Nov	350.00	3.5
HAHN CAPITAL MANAGEMENT	084	KEG	S	100,363	6.91	n/a	4-Dec	5,018.15	5.0
B BUCK CAPITAL MGMT		KORS	B	20,000	51.28	n/a	14-Nov	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	KORS	B	100	51.43	n/a	14-Nov	0.00	0.0
TUDOR INVESTORS	028	KSU	S	5,000	79.24	n/a	n/a	150.00	3.0
BTG PACTUAL	040	LCC	B	15,000	12.87	n/a	6-Dec	450.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	LEA		B	20,000	44.58	n/a	7-Dec	600.00	3.0
M&I FUNDS	047	LMT	B	2,490	91.45	n/a	16-Nov	99.60	4.0
B BUCK CAPITAL MGMT		LPNT	B	28,000	36.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MCD	SS	11,000	88.92	n/a	5-Dec	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	MDLZ	B	182,800	25.46	n/a	n/a	7,312.00	0.0
CR INTRINIC INVESTMENT	044	MFRM	B	20,000	22.98	n/a	n/a	700.00	3.5
MILLENNIUM PARTNERS ICSUS/BAHN028	MS		SS	29,500	16.96	n/a	4-Dec	1,180.00	0.0
PATTEN & PATTEN	025	MUNI	B	500	55.30	n/a	n/a	25.00	5.0
SIMMONS VENTURES	041	M	B	10,000	39.38	n/a	30-Nov	400.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	50	89.43	n/a	n/a	0.00	0.0
G WEISS /IAN	025	OZM	S	25,000	9.53	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		PFE	B	40,000	25.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	40,000	80.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	40,000	80.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RYL	S	33,900	32.71	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	SBH	B	195,000	24.09	n/a	n/a	5,850.00	0.0
OZ MGMT	040	SBUX	S	35,277	53.41	n/a	6-Dec	1,058.31	0.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	25.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	40,000	25.35	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	SPW	S	10,000	67.61	n/a	n/a	500.00	0.0
B BUCK CAPITAL MGMT		SWN	B	30,000	34.40	n/a	6-Dec	non-brg	4.0
SCOPUS FUND	041	TEX	B	30,378	24.78	n/a	n/a	1,215.12	4.0
B BUCK CAPITAL MGMT		TITN	B	20,000	23.48	n/a	n/a	non-brg	4.0
f REUBEN D DVORETSKY	FID	TNK	S	740	2.68	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	TOL	B	50,000	30.78	n/a	n/a	2,000.00	4.0
1798 CAP/LOMBARD ASSET	040	TWI	S	5,000	20.84	n/a	n/a	250.00	0.0
ACK ASSET	028	TWI	S	15,000	20.85	n/a	n/a	450.00	0.0
OHIO PERS	047	T	S	56,000	33.50	n/a	n/a	1,680.00	0.0
f REUBEN D DVORETSKY	FID	UVE	S	1170	4.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VFC	S	10,000	151.54	n/a	23-Oct	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	VRNG	S	2000	3.08	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								78,579.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	ACK ASSET	028	GMT	S	9,125	41.75	n/a	n/a	273.75 3.0
AO,CRT	12/04	ACK ASSET	028	GMT	S	9,125	41.75	n/a	n/a	273.75 0.0
AO,CRT	12/06	HIGHBRIDGE CAP	041	ITB	B	8,000	19.92	n/a	n/a	160.00 2.0
AO,CXL	12/06	HIGHBRIDGE CAP	041	ITB	B	8,000	19.92	n/a	n/a	240.00 3.0
AO,CRT	12/06	HIGHBRIDGE CAP	041	ROC	B	5,500	46.48	n/a	n/a	165.00 3.0
AO,CXL	12/06	HIGHBRIDGE CAP	041	ROC	B	5,500	46.48	n/a	n/a	165.00 3.0
TOTAL (AO, CXL, CRT) :										-80.00
TOTAL (Trade Date) :										78,579.98
TOTAL (AO, CXL, CRT) :										-80.00
TOTAL (RUN DATE) / NFS:										78,499.98

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 7-Dec.
NONE

MRI Securities without Trade Activity on 7-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)