



Daily Compliance Activity Report

Trade Date: 10/26/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	AAPL	S	18	594.22	n/a	n/a	0.00	0.0
f ANN M GAULT	FID	AMCC	S	3500	5.85	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	AMCC	S	3100	5.85	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	ANW	B	22,000	5.61	n/a	n/a	1,100.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AVP	SS	50,000	15.65	n/a	22-Oct	1,750.00	3.5
f ANTHONY SUTERA	FID	AXL	B	1500	10.35	n/a	18-Oct	0.00	0.0
B BUCK CAPITAL MGMT		AXL	B	46,300	10.92	n/a	18-Oct	non-brg	4.0
NEWLAND CAPITAL MGT	025	AXL	B	12,800	10.30	n/a	18-Oct	512.00	4.0
NEWLAND CAPITAL MGT	025	AXL	S	12,800	10.97	n/a	18-Oct	512.00	4.0
ROSEDALE CAPITAL	046	AXL	B	17,500	10.33	n/a	18-Oct	700.00	4.0
SPARTAN	093	AXL	B	15,000	10.35	n/a	18-Oct	450.00	3.0
S.A.C. CAPITAL	044	BEAV	S	42,000	45.49	n/a	25-Oct	1,470.00	3.5
B BUCK CAPITAL MGMT		BNNY	B	10,000	39.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BTU	B	35,000	28.46	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR	B	30,000	16.28	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CERN	SS	13,000	77.53	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CLD	B	25,000	20.93	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OTTER CREEK MGMT	093	CLD	S	20,000	19.91	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	CME	B	77,400	55.02	n/a	28-Apr	2,322.00	0.0
EDGEWOOD	085	COH	B	32,042	55.98	n/a	24-Oct	1,602.10	0.0
M&I FUNDS	047	COH	B	4,017	56.81	n/a	24-Oct	160.68	4.0
BASSWOOD PARTNERS	267	DAN	B	43,600	12.84	n/a	18-Oct	1,744.00	0.0
BRIGADE CAPITAL MGMT	029	DAN	S	150,000	12.79	n/a	18-Oct	4,500.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	S	15,000	29.74	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DECK	S	65,000	29.54	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	DG	B	5,000	47.56	n/a	5-Sep	150.00	3.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	50.02	n/a	17-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	50.39	n/a	17-Sep	non-brg	4.0
CONIFER/FIRESTORM/BC	033	DKS	SS	6,000	49.98	n/a	17-Sep	240.00	4.0
⚡ BUCK CAPITAL MGMT		DLTR	B	12,000	39.99	n/a	12-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DLTR	B	30,000	39.88	n/a	12-Oct	non-brg	4.0
STANDARD PACIFIC CAPITAL	084	DV	B	175,324	26.01	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	DY	B	10,000	14.16	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	12,240	29.16	n/a	23-Oct	367.20	0.0
⚡ JONATHAN RICHARD HAR	FID	FBC	B	300	13.03	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FDO	B	50,000	65.67	n/a	4-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FDO	B	50,000	65.67	n/a	4-Oct	non-brg	4.0
BUCK CAPITAL MGMT		FINL	B	20,000	20.56	n/a	28-Sep	non-brg	4.0
BUCK CAPITAL MGMT		FINL	B	20,000	20.56	n/a	28-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	12,069	20.49	n/a	28-Sep	603.45	0.0
BUCK CAPITAL MGMT		FL	B	26,900	33.25	n/a	29-Aug	non-brg	4.0
BUCK CAPITAL MGMT		FL	B	30,000	33.24	n/a	29-Aug	non-brg	4.0
METROPOLITAN CAPITAL	044	FL	B	5,700	33.23	n/a	29-Aug	285.00	5.0
BUCK CAPITAL MGMT		GCO	B	10,000	56.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	B	1,042	35.61	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	B	1,158	35.56	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	B	18,842	35.33	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		GIII	B	18,958	35.33	n/a	n/a	non-brg	2.5
OSKIE CAPITAL MGMT	224	GM	B	30,000	23.62	n/a	18-Oct	1,500.00	5.0
TRELLUS PARTNERS LP	028	GM	B	15,000	23.35	n/a	18-Oct	450.00	0.0
LOMAS CAPITAL	040	GT	S	70,000	11.19	n/a	n/a	2,100.00	3.0
PALESTRA	040	HBAN	B	82,000	6.32	n/a	n/a	4,100.00	5.0
BUCK CAPITAL MGMT		HBI	S	30,000	32.80	n/a	24-Oct	non-brg	4.0
SANDLER CAPITAL	028	HP	B	75,000	48.71	n/a	n/a	3,750.00	0.0
BALYASNY ASSET MGMT	044	IP	S	25,000	35.59	n/a	25-Oct	1,250.00	0.0
BUCK CAPITAL MGMT		IWF	SS	60,000	64.87	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		IWO	SS	20,000	92.70	n/a	n/a	non-brg	2.0
J. GOLDMAN	028	JCI	B	28,000	26.28	n/a	23-Oct	1,120.00	4.0
f ANTHONY SUTERA	FID	KCG	S	5500	2.61	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		KMX	B	100,000	33.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KMX	B	100,000	33.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	B	50,000	51.89	n/a	26-Oct	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	KSS	B	6,560	52.37	n/a	26-Oct	196.80	0.0
ß BUCK CAPITAL MGMT		LPNT	B	15,000	35.67	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	LPX	B	8,000	15.16	n/a	15-Oct	320.00	4.0
ß BUCK CAPITAL MGMT		MPEL	S	173,250	14.36	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MPEL	S	193,250	14.37	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MYL	C	31,164	25.44	n/a	25-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		MYL	C	75,000	25.34	n/a	25-Oct	non-brg	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	38.25	n/a	26-Oct	1,000.00	0.0
ß BUCK CAPITAL MGMT		NFLX	SS	40,000	68.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NFLX	SS	40,000	68.58	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	NFLX	S	200	69.92	n/a	n/a	0.00	0.0
OHIO PERS	047	NIHD	S	17,000	7.27	n/a	n/a	510.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PCLN	SS	2,000	575.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PCLN	SS	2,000	575.86	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	20,000	43.80	n/a	15-Oct	1,000.00	5.0
ß BUCK CAPITAL MGMT		PP FP	C	13,062	170.03	n/a	n/a	non-brg	34.0
ß BUCK CAPITAL MGMT		PP FP	C	3,668	170.03	n/a	n/a	non-brg	34.0
WELLSPRING CAPITAL	093	PSSI	S	99,355	28.57	n/a	n/a	3,974.20	4.0
ß BUCK CAPITAL MGMT		P	SS	50,000	8.10	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		P	SS	50,000	8.19	n/a	n/a	non-brg	3.0
COOPER CREEK PART	028	RKT	S	7,500	73.11	n/a	15-Oct	300.00	4.0
ß BUCK CAPITAL MGMT		SCSS	S	50,000	26.65	n/a	n/a	non-brg	4.0
LISTED ERR	099	SFD	S	100	20.72	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SFER IM	C	10,000	20.07	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SFER IM	C	10,000	20.07	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	41.87	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SKT	B	19,000	31.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKT	B	19,000	31.07	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	SPF	B	500	6.77	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	10,000	35.68	n/a	n/a	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SUMR	S	9,050	1.50	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		SUMR	S	9,050	1.50	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		TGT	B	100,000	63.70	26-Oct	26-Oct	non-brg	4.0
FORWARD MGMT	033	TGT	B	7,500	63.50	26-Oct	26-Oct	300.00	0.0
GEORGE WEISS	034	TGT	B	15,000	63.86	26-Oct	26-Oct	600.00	0.0
SCOPUS FUND	041	TGT	B	20,000	63.58	26-Oct	26-Oct	800.00	4.0
PATTEN & PATTEN	025	TRN	B	2,000	31.28	n/a	n/a	100.00	5.0
BAIRD INVESTMENT	047	UA	B	25,250	51.78	26-Oct	26-Oct	1,262.50	0.0
J. GOLDMAN	028	URI	SS	25,000	38.32	n/a	17-Apr	1,000.00	4.0
BUCK CAPITAL MGMT		VFC	S	10,000	153.23	n/a	23-Oct	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	V	S	4,746	137.72	n/a	24-Oct	189.84	0.0
BUCK CAPITAL MGMT		WERN	B	10,000	22.64	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WWAV	B	10,854	17.00	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		WWAV	B	4,146	17.00	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		WWAV	S	10,854	17.56	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		WWAV	S	4,146	17.56	n/a	n/a	non-brg	2.5
COLUMBUS CIRCLE	036	WWAV	B	15,400	17.93	n/a	n/a	616.00	0.0
BUCK CAPITAL MGMT		WYNN	C	40,000	119.02	n/a	13-Jun	non-brg	4.0
BUCK CAPITAL MGMT		WYNN	C	40,000	119.02	n/a	13-Jun	non-brg	4.0
BUCK CAPITAL MGMT		XLY	SS	90,000	45.89	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		XPO	B	77,000	13.11	n/a	n/a	non-brg 4.0
SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	69.84	n/a	11-Oct	1,000.00 0.0
TOTAL (Trade Date):							47,607.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/25	LISTED ERR	097	SFD	B	100	20.55	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	47,607.77
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	47,607.77
-------------------------	-----------

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 26-Oct.

TGT, UA

MRI Securities without Trade Activity on 26-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)