



# Daily Compliance Activity Report

Trade Date: 11/13/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>AIG</b>	<b>S</b>	<b>5000</b>	<b>31.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	ARG	B	12,500	87.57	n/a	25-Oct	500.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ATVI	B	5,000	10.68		n/a n/a	150.00	3.0
WOOSTER CAPITAL	035	AXL	B	10,000	9.90	n/a	2-Nov	500.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>AXP</b>	<b>S</b>	<b>8000</b>	<b>55.02</b>	<b>n/a</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BNNY</b>	<b>S</b>	<b>43,769</b>	<b>36.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BNNY</b>	<b>S</b>	<b>68,769</b>	<b>36.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BARROW HANLEY MEWHINNEY	031	BP	B	544,100	40.70	n/a	n/a	19,043.50	0.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BUD</b>	<b>S</b>	<b>150</b>	<b>84.13</b>	<b>n/a</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>B</b>	<b>20,000</b>	<b>17.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>630</b>	<b>3.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CCL</b>	<b>S</b>	<b>28,415</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRED ALGER MGMT	035	COF	S	78,190	57.39	n/a	13-Nov	2,814.84	0.0
CASTLEROCK	040	CSCO	B	5,000	17.11	n/a	7-Nov	200.00	0.0
BTG PACTUAL	040	DAL	B	10,000	10.42	n/a	12-Nov	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COPIA CAPITAL	031	DAL	B	100,000	10.35	n/a	12-Nov	3,500.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DD</b>	<b>S</b>	<b>4000</b>	<b>43.20</b>	<b>n/a</b>	<b>23-Oct</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	DKS	S	10,000	50.45	n/a	13-Nov	400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	S	25,000	50.02	n/a	13-Nov	750.00	3.0
OZ MGMT	040	DKS	S	50,000	50.04	n/a	13-Nov	1,500.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ENDP</b>	<b>S</b>	<b>5000</b>	<b>26.71</b>	<b>n/a</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ENX</b>	<b>B</b>	<b>2500</b>	<b>14.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>ENX</b>	<b>B</b>	<b>600</b>	<b>14.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT)	251	ETN		SS	5,000	49.62	n/a	31-Oct	200.00 4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>B</b>	<b>30,000</b>	<b>10.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>10,000</b>	<b>66.38</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>10,000</b>	<b>66.38</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>12,500</b>	<b>65.89</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>12,500</b>	<b>65.89</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>20,000</b>	<b>66.26</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>20,546</b>	<b>66.26</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>80,000</b>	<b>66.21</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>80,000</b>	<b>66.21</b>	<b>n/a</b>	<b>4-Oct</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	FDO	B	25,000	66.19	n/a	4-Oct	750.00	0.0
WEXFORD CAPITAL	284	FDO	S	8,720	66.22	n/a	4-Oct	261.60	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>25,000</b>	<b>20.36</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>30,000</b>	<b>20.36</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SOROS	274	GE	S	500,000	20.68	n/a	n/a	20,000.00	0.0	
KLEINHEINZ CAP PART	031	GM	B	10,000	25.15	n/a	2-Nov	500.00	5.0	
ROSEDALE CAPITAL	046	GM	B	10,000	24.97	n/a	2-Nov	500.00	5.0	
TRELLUS PARTNERS LP	028	GM	B	19,000	24.88	n/a	2-Nov	570.00	0.0	
KLEINHEINZ CAP PART	031	HAIN	B	40,000	60.91	n/a	n/a	2,000.00	5.0	
MACELLUM CAPITAL	086	HOTT	B	39,530	8.47	n/a	n/a	1,185.90	3.0	
ARMATURE CAPITAL	041	IP	B	20,000	34.48	n/a	25-Oct	800.00	0.0	
f DAVID GEORGE BUCK	FID	IWM	B	150	79.16	n/a	n/a	0.00	0.0	
CAERUS GLOBAL	041	MGM	B	38,000	9.49	n/a	13-Jun	1,520.00	4.0	
MACELLUM CAPITAL	086	MNRO	S	20,920	32.43	n/a	n/a	627.60	3.0	
FRED ALGER MGMT	035	MRC	B	23,100	23.90	n/a	n/a	831.60	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	5,000	3.03		n/a	n/a	100.00	2.0
TRUSTCO/SUNTRUST (CEREDEX)	273	MSFT	B	106,550	26.89		n/a	n/a	3,409.60	0.0
f KAREN F LEDDY	FID	MTW	S	900	13.80	n/a	11-Jul	0.00	0.0	
JET CAPITAL/CHRIS	041	NRG	B	125,000	19.98	n/a	n/a	3,750.00	0.0	
HOLLIS CAPITAL	033	PANL	SS	3,000	23.73	n/a	n/a	150.00	5.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		RCL	S	74,382	34.17	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		RL	B	25,000	153.14	n/a	5-Nov	non-brg	4.0
	COOKBIELER	028	RSG	S	70,645	26.79	n/a	n/a	2,825.80	0.0
	COOKBIELER	028	STC	S	17,350	24.62	n/a	n/a	694.00	0.0
f	DAVID GEORGE BUCK	FID	STWD	B	2000	21.75	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	STWD	B	500	21.73	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	STWD	B	500	21.72	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		TITN	B	25,000	21.70	n/a	n/a	non-brg	4.0
	SAC TRADING TOM LEDDY	035	TJX	SS	20,000	41.75	n/a	5-Nov	700.00	3.5
f	GAJANTHAN BALAKANES	FID	TROX	B	13	15.30	n/a	n/a	0.00	0.0
	KLEINHEINZ CAP PART	031	UA	B	40,000	51.32	n/a	26-Oct	2,000.00	5.0
	HOPLITE MGMT	025	VALE	SS	50,000	17.75	n/a	n/a	1,000.00	0.0
	CASTLEROCK	040	WFT	B	35,913	9.25	n/a	n/a	1,436.52	4.0
	OZ MGMT	040	WMT	B	115,022	72.09	n/a	12-Nov	3,450.66	0.0
	OZ MGMT	040	WMT	SS	68,777	71.56	n/a	12-Nov	2,063.31	0.0
	OSKIE CAPITAL MGMT	224	XHB	SS	60,000	25.40	n/a	n/a	3,000.00	5.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	XME	B	10,000	43.24	n/a	n/a	400.00	4.0

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**TOTAL (Trade Date):**

**84,384.93**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	2,500	3.05	n/a	n/a	50.00	2.0
AO,CXL	11/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	2,500	3.05	n/a	n/a	75.00	3.0
AO,	11/01	COLUMBUS CIRCLE	036	NWL	B	6,200	21.16	n/a	n/a	4.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-21.00</b>	

TOTAL (Trade Date) :	84,384.93
TOTAL (AO, CXL, CRT) :	-21.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>84,363.93</b>
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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 13-Nov.  
NONE

MRI Securities without Trade Activity on 13-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)**