



Daily Compliance Activity Report

Trade Date: 01/13/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	S	120,000	12.99	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	20,000	13.02	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	200,000	12.95	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	30,000	12.99	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	78,900	12.98	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	80,000	13.02	n/a	2-Dec	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	ALL	B	12,200	28.67	n/a	n/a	488.00	4.0
BUCK CAPITAL MGMT		ARO	C	110,000	16.28	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	C	110,000	16.31	n/a	n/a	non-brg	4.0
JOHN BARTMAN COLE	FID	BAC	B	100	6.51	n/a	6-Jan	0.00	0.0
BUCK CAPITAL MGMT		BIG	S	52,000	37.66	n/a	2-Dec	non-brg	4.0
MOORE CAPITAL	041	BRCD	B	29,400	5.76	n/a	n/a	882.00	3.0
CICILY S BACKUS	FID	BUD	B	1500	59.54	n/a	9-Jan	0.00	0.0
LBP ENTERPRISES INC	FID	BUD	B	1000	59.53	n/a	9-Jan	0.00	0.0
SNEJANA P GARFUNKEL	FID	BUD	B	500	59.48	n/a	9-Jan	0.00	0.0
TUDOR INVESTORS	028	CSX	SS	10,000	22.86	n/a	n/a	300.00	3.0
JOHN BARTMAN COLE	FID	CS	B	100	22.42	n/a	n/a	0.00	0.0
GAVIN N CADWALLADER	FID	C	B	80	30.90	n/a	6-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DAN	S	50,000	14.53	13-Jan	13-Jan	non-brg	4.0
SURVEYOR CAPITAL	251	DAN	SS	20,000	14.56	13-Jan	13-Jan	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	DPS	S	105,700	37.62	n/a	n/a	4,228.00	4.0
OHIO PERS	047	DRQ	S	9,259	63.80	n/a	n/a	277.77	3.0
VERITION	028	EBAY	B	7,500	30.97	n/a	n/a	225.00	3.0
⚡ BUCK CAPITAL MGMT		EXPR	B	20,000	20.30	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	FINL	B	7,000	18.99	n/a	22-Dec	350.00	5.0
f JILL ROSENBERG	FID	FNSXX	B	221	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	242	1.00	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GIL	S	50,000	20.92	n/a	9-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	50,000	21.04	n/a	9-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	50,000	21.04	n/a	9-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	50,000	21.13	n/a	9-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GM	SS	50,000	24.32	n/a	6-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GM	SS	50,000	24.41	n/a	6-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GM	SS	50,000	24.50	n/a	6-Jan	non-brg	4.0
CASTLEROCK	040	GM	SS	233,455	24.22	n/a	6-Jan	9,338.20	4.0
OZ MGMT	040	GM	SS	50,000	23.97	n/a	6-Jan	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		GWV	C	18,700	196.50	n/a	12-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	B	8,300	22.92	n/a	9-Jan	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		HBI	B	8,300	22.92	n/a	9-Jan	non-brg	0.8
BUCK CAPITAL MGMT		HBI	B	8,400	22.92	n/a	9-Jan	non-brg	0.8
BUCK CAPITAL MGMT		HBI	B	9,000	22.94	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		HBI	B	9,000	22.94	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		HBI	B	9,000	22.94	n/a	9-Jan	non-brg	4.0
DAVID GEORGE BUCK	FID	HNT	S	20	0.30	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	HON	SS	4,000	56.70	n/a	9-Jan	120.00	3.0
YORK CAPITAL	036	HON	B	35,000	56.55	n/a	9-Jan	1,050.00	3.0
EDWARD W WHEELER	FID	HSP	B	3000	30.97	n/a	13-Jan	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	HVT	S	704	12.22	n/a	n/a	35.20	5.0
SIMMONS VENTURES	041	HWD	B	5,000	10.65	n/a	n/a	200.00	4.0
ELM RIDGE ADVISORS	044	IP	S	46,608	31.51	n/a	27-Oct	1,864.32	4.0
BALLAST CAP	040	ITT	S	20,400	21.72	n/a	n/a	1,020.00	5.0
MATTHEW FRANCIS BUCK	FID	IWF	B	250	59.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JCP	C	90,000	33.93	n/a	9-Jan	non-brg	4.0
JOHN BARTMAN COLE	FID	JRCC	B	700	6.72	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	KWS	B	10,000	3.14	n/a	n/a	300.00	3.0
DAVID GEORGE BUCK	FID	LIFE	S	10	0.58	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		MA	B	6,000	338.87	n/a	5-Jan	non-brg	4.0
f JASON ERIC COHEN	FID	MINI	B	100	18.33	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	S	1500	38.36	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	S	400	38.36	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	MSHL	S	500	1.02	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSMSRASH	C	1,244,358	99.93	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSRASH	SS	1,196,618	99.93	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSRASH	SS	35,000	99.61	n/a	n/a	non-brg	8.0
ROYCE TRADING	031	MTX	B	10,605	60.56	n/a	n/a	530.25	5.0
DEVENNY CAP LLC	044	MWV	SS	45,000	30.87	n/a	26-Oct	1,350.00	3.0
OZ MGMT	040	MWV	C	100,000	30.86	n/a	26-Oct	3,000.00	3.0
f JOHN BARTMAN COLE	FID	NCS	S	500	11.22	n/a	n/a	0.00	0.0
BRONSON POINT	036	NEM	C	10,000	63.67	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		PCLN	SS	1,000	471.69	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PLCE	B	30,000	49.84	n/a	5-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	50,000	49.42	n/a	5-Jan	non-brg	4.0
EPOCH INV MGMT	030	PRU	B	100,000	54.03	n/a	n/a	3,000.00	3.0
f MARC PAUL LUCHANSKY	FID	RL	B	10	144.86	n/a	9-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	RRGB	B	2,600	30.01	n/a	n/a	130.00	5.0
f DAVID GEORGE BUCK	FID	RYN	S	1500	45.13	n/a	26-Oct	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	RYN	S	500	45.15	n/a	26-Oct	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	200	47.39	n/a	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		SIG	B	20,000	44.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	20,000	44.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	40,000	44.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	5,000	44.63	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	SKUL	B	5,000	11.94	n/a	n/a	200.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	B	25	1.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TPX	B	10,000	58.30	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	URI	B	10,000	30.83	n/a	n/a	300.00	3.0
FRED ALGER MGMT	035	USB	S	24,300	29.00	n/a	n/a	874.80	3.6
SCOPUS FUND	041	USG	B	25,000	13.01	n/a	21-Oct	1,000.00	4.0
f DAVID GEORGE BUCK	FID	VNO	S	15	1.45	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	VRA	S	12,033	33.77	n/a	n/a	601.65	5.0
FRED ALGER MGMT	035	WFC	S	84,300	29.53	n/a	6-Jan	3,034.80	3.6

TOTAL (Trade Date):

37,099.99

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									37,099.99
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									37,099.99
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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-Jan.

DAN

MRI Securities without Trade Activity on 13-Jan.

DPZ

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)