



Daily Compliance Activity Report

Trade Date: 02/03/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	SS	68,887	33.82	29-Jan	29-Jan	2,066.61	3.0
ß BUCK CAPITAL MGMT		AAPL	B	300	504.39	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		AAPL	B	5,000	500.23	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		AAPL	S	400	504.29	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	AAP	B	10,000	110.59	n/a	n/a	500.00	5.0
SYMPHONY ASSET	033	ABG	SS	11,883	45.62	n/a	31-Jan	356.49	3.0
IVORY CAPITAL	084	ADT	B	60,200	28.98	n/a	n/a	3,010.00	5.0
ß BUCK CAPITAL MGMT		AEO	B	3,800	13.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		AEO	S	3,700	13.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		AEO	S	440	13.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ALK	C	340	75.98	24-Jan	24-Jan	non-brg	1.0
f MANNY I KORMAN	FID	AMCX	S	2000	62.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		AMZN	B	100	349.45	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		AMZN	B	4,000	350.52	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		AMZN	S	100	349.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		APOL	C	600	31.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		APOL	SS	600	31.49	n/a	n/a	non-brg	1.0
f ANTHONY SUTERA	FID	AXL	S	1000	18.13	n/a	27-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		AXL	B	27,000	17.81	n/a	27-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AXL	S	1,410	18.11	n/a	27-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		AXP	S	200	83.81	17-Jan	17-Jan	non-brg	1.0
LOCUST WOOD CAPITAL MGMT	044	A	B	10,575	57.59	n/a	n/a	423.00	4.0
⌘ BUCK CAPITAL MGMT		BAC	S	2,160	16.56	16-Jan	31-Jan	non-brg	1.0
PRIMECAP MGMT	084	BA	S	12,000	123.58	n/a	29-Jan	480.00	4.0
⌘ BUCK CAPITAL MGMT		BCC	S	1,080	29.73	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BHI	S	170	56.06	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BID	C	140	45.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BID	C	700	45.92	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BID	SS	700	45.84	n/a	n/a	non-brg	1.0
KORTRIGHT CAPITAL PARTNERS	025	BIP	B	30,000	36.48	n/a	n/a	900.00	3.0
⌘ BUCK CAPITAL MGMT		BLMN	B	3,400	22.85	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BLMN	S	3,400	22.84	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	BMRN	B	5,000	67.76	n/a	n/a	200.00	4.0
⌘ BUCK CAPITAL MGMT		BONT	C	30,200	10.49	13-Jan	23-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BONT	C	400	10.51	13-Jan	23-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BONT	SS	300	10.50	13-Jan	23-Jan	non-brg	1.0
GAMCO ASSET MNGMT	025	BONT	B	10,169	10.45	13-Jan	23-Jan	305.07	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		CAR	B	4,800	36.76	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CAR	S	1,150	36.76	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CAR	S	4,700	36.76	n/a	n/a	non-brg	1.0
MOORE CAPITAL	257	CAR	SS	40,000	35.84	n/a	n/a	1,200.00	3.0
FORTRESS INVST (US)	036	CAT	B	33,500	92.54	n/a	n/a	1,340.00	4.0
BUCK CAPITAL MGMT		CERN	C	210	56.89	n/a	n/a	non-brg	1.0
KEVIN MAREK	FID	CGEN	B	85	10.26	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CHKP	S	10,170	63.33	n/a	n/a	305.10	3.0
BUCK CAPITAL MGMT		CHS	C	20,000	16.18	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CHS	C	900	16.22	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CHS	SS	900	16.23	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	CME	B	8,000	73.20	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT		CNC	S	520	59.90	n/a	n/a	non-brg	1.0
SENATOR INVEST GROUP	287	CNP	S	415,000	23.05	n/a	n/a	12,450.00	3.0
BUCK CAPITAL MGMT		COF	S	400	69.44	17-Jan	17-Jan	non-brg	1.0
BUCK CAPITAL MGMT		COH	C	1,500	46.97	n/a	24-Jan	non-brg	1.0
BUCK CAPITAL MGMT		COH	SS	1,600	46.99	n/a	24-Jan	non-brg	1.0
AMICI CAPITAL N/C	044	C	SS	100,000	47.35	9-Jan	31-Jan	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	C	B	45,400	46.40	9-Jan	31-Jan	1,816.00	4.0
⌘ BUCK CAPITAL MGMT		C	S	340	46.90	9-Jan	31-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DAL	S	120	29.78	22-Jan	22-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DECK	B	2,700	76.62	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DECK	S	2,800	76.68	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DFS	S	430	53.01	13-Jan	24-Jan	non-brg	1.0
PRIMECAP MGMT	084	DFS	B	5,000	52.87	13-Jan	24-Jan	200.00	4.0
⌘ BUCK CAPITAL MGMT		DGX	B	9,700	51.64	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DGX	S	310	51.83	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	B	4,000	55.66	n/a	9-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	S	260	55.64	n/a	9-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	S	3,900	55.64	n/a	9-Jan	non-brg	1.0
FARALLON CAP MGMT	040	DG	B	100,000	55.47	n/a	9-Jan	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		DHI	S	1,010	22.81	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DKS	B	4,100	50.95	n/a	29-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DKS	S	390	50.91	n/a	29-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DKS	S	4,000	50.95	n/a	29-Jan	non-brg	1.0
INTERVAL PARTNERS	033	DKS	B	20,000	51.28	n/a	29-Jan	600.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DLPH	S	10,000	60.01	n/a	n/a	300.00	3.0
P.SCHOENFELD ASSET MGMT LLC	041	DRH	S	67,000	11.37	n/a	n/a	2,680.00	4.0
ROVER CAPITAL PARTNERS	040	DRI	B	2,000	48.32	n/a	10-Jan	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		EL	C	900	68.33	n/a	3-Feb	non-brg	1.0
ß BUCK CAPITAL MGMT		EL	SS	900	68.33	n/a	3-Feb	non-brg	1.0
f MATTHEW FRANCIS BUCK	FID	ENX	S	1000	11.69	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ETN	S	190	71.50	3-Feb	3-Feb	non-brg	1.0
f DAVID GEORGE BUCK	FID	ETY	S	12500	10.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EXPE	C	160	63.85	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		EXPE	C	8,000	63.17	n/a	n/a	non-brg	4.0
P.SCHOENFELD ASSET MGMT LLC041	FCH		S	22,000	7.88	n/a	n/a	880.00	4.0
f CHRISTY FRANK	FID	FCS	B	800	12.38	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FL	B	15,000	36.75	n/a	29-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	9,100	37.53	n/a	29-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	S	540	37.56	n/a	29-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	S	9,000	37.53	n/a	29-Jan	non-brg	1.0
LATEEF MGMT	033	FMER	B	500	19.56	n/a	n/a	50.00	10.0
ß BUCK CAPITAL MGMT		FNP	B	18,200	27.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	7,200	28.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FNP	S	220	28.17	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FNP	S	7,200	28.15	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	B	800	108.37	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FOSL	S	800	108.36	n/a	n/a	non-brg	1.0
MANNY I KORMAN	FID	FOXA	S	4000	31.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FTK	S	1,190	20.91	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		FWM	S	10,000	11.64	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		FWM	S	40,000	11.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		F	C	370	14.59	n/a	3-Feb	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	F	SS	28,000	14.77	n/a	3-Feb	840.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	50,000	14.80	n/a	3-Feb	1,500.00	3.0
OZ MGMT	040	F	C	254,020	14.59	n/a	3-Feb	7,620.60	3.0
PECONIC PARTNERS	036	F	SS	15,500	14.56	n/a	3-Feb	775.00	5.0
BUCK CAPITAL MGMT		GCO	B	7,700	69.89	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GCO	S	3,000	69.89	n/a	n/a	non-brg	1.0
S.A.C. CAPITAL	044	GDX	S	25,000	23.39	n/a	n/a	750.00	3.0
CORTEX CAPITAL	031	GES	SS	20,000	26.95	24-Jan	24-Jan	600.00	3.0
BUCK CAPITAL MGMT		GIII	B	5,000	67.61	24-Jan	24-Jan	non-brg	1.0
BUCK CAPITAL MGMT		GIII	B	7,600	66.52	24-Jan	24-Jan	non-brg	4.0
BUCK CAPITAL MGMT		GIII	S	120	67.30	24-Jan	24-Jan	non-brg	1.0
BUCK CAPITAL MGMT		GIII	S	5,100	67.40	24-Jan	24-Jan	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	GIII	S	1,200	69.05	24-Jan	24-Jan	48.00	4.0
BUCK CAPITAL MGMT		GIL	B	4,100	52.83	24-Jan	3-Feb	non-brg	1.0
BUCK CAPITAL MGMT		GIL	S	4,000	52.83	24-Jan	3-Feb	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GM	B	14,200	35.30	27-Jan	3-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GM	S	1,080	35.55	27-Jan	3-Feb	non-brg	1.0
HALCYON LLC	041	GM	S	150,000	35.10	27-Jan	3-Feb	4,500.00	3.0
PECONIC PARTNERS	036	GM	B	2,100	35.55	27-Jan	3-Feb	105.00	5.0
PHILADELPHIA FINANCIAL	033	GM	SS	105,819	35.50	27-Jan	3-Feb	4,232.76	4.0
TROUBH PART	070	GM	B	15,000	35.31	27-Jan	3-Feb	750.00	5.0
⚡ BUCK CAPITAL MGMT		GNC	B	4,700	49.71	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GNC	S	4,500	49.73	n/a	n/a	non-brg	1.0
ARDSLEY PARTNERS/RIDGECREST	306	GPOR	B	5,000	59.40		n/a	n/a	200.00 4.0
MOORE CAPITAL	257	GPS	B	28,000	37.45	28-Jan[i]	29-Jan	840.00	3.0
⚡ BUCK CAPITAL MGMT		HAL	S	420	48.14	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HBI	B	2,800	69.48	30-Jan	30-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HBI	S	2,700	69.41	30-Jan	30-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HCA	S	570	49.73	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HDS	B	5,000	20.97	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HDS	S	1,120	20.97	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HDS	S	4,900	20.96	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HD	B	1,000	75.68	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HD	S	1,100	75.72	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HD	S	90	75.69	n/a	n/a	non-brg	1.0
f JOHN MICHAEL ZOLIDIS	FID	HLF	B	200	67.65	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	HPQ	S	500	28.09	n/a	n/a	50.00	10.0
BRANDWINE	028	HP	S	45,600	86.11	n/a	n/a	1,824.00	4.0
PROVIDENCE EQUITY CAPITAL	040	HRG	S	84,100	11.90	n/a	n/a	2,523.00	3.0
ß BUCK CAPITAL MGMT		HTZ	B	4,700	25.29	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	1,500	25.30	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	4,700	25.30	n/a	n/a	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	IACI	S	100	66.87	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ICON	B	900	36.96	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ICON	S	1,000	36.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IP	S	340	46.83	n/a	3-Feb	non-brg	1.0
f JASON ERIC COHEN	FID	IVV	B	65	176.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IWM	C	1,100	109.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWM	SS	1,100	109.91	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	2,450	130.30	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JBLU	S	4,500	8.69	n/a	30-Jan	non-brg	1.0
PECONIC PARTNERS	036	JBLU	B	100,000	8.59	n/a	30-Jan	4,000.00	4.0
DC CAPITAL	044	JCP	B	250,000	5.65	9-Jan	31-Jan	6,250.00	3.0
ß BUCK CAPITAL MGMT		JIVE	S	1,820	8.95	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	JNJ	B	400	86.94	n/a	n/a	60.00	15.0
⌘ BUCK CAPITAL MGMT		JPM	S	370	54.61	9-Jan	31-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JWN	B	700	56.12	23-Jan	23-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JWN	S	30,000	56.75	23-Jan	23-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	S	700	56.12	23-Jan	23-Jan	non-brg	1.0
IVORY CAPITAL	084	KBH	B	93,278	18.70	n/a	n/a	4,663.90	5.0
⌘ BUCK CAPITAL MGMT		KBR	S	210	30.61	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	KBR	S	10000	30.59	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		KEG	S	1,610	7.23	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KMT	S	640	42.00	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	KMT	B	5000	41.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		KND	S	650	18.64	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	B	3,000	78.30	24-Jan	3-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	120	78.19	24-Jan	3-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	2,900	78.29	24-Jan	3-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	50,000	79.32	24-Jan	3-Feb	non-brg	4.0
KENBELLE LLC	028	KRE	SS	44,000	38.23	n/a	n/a	1,320.00	3.0
PECONIC PARTNERS	036	KSU	B	1,600	105.50	27-Jan	27-Jan	80.00	5.0
LATEEF MGMT	033	K	B	250	57.19	n/a	n/a	45.00	18.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	085	LBTYA	SS	20,644	79.51	n/a	27-Jan	825.76	4.0
AMBER CAPITAL	085	LBTYK	SS	15,144	78.77	n/a	n/a	605.76	4.0
B BUCK CAPITAL MGMT		LB	SS	2,500	52.24	29-Jan[i]	29-Jan	non-brg	4.0
TWIN CAPITAL	041	LIFE	B	50,000	76.06	n/a	n/a	1,500.00	3.0
MOORE CAPITAL	257	LL	S	9,375	87.04	n/a	n/a	281.25	3.0
IVORY CAPITAL	084	LNG	B	64,340	42.92	n/a	n/a	3,217.00	5.0
B BUCK CAPITAL MGMT		LPNT	S	300	53.16	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		LPX	B	30,000	16.65	22-Jan	31-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		LPX	S	1,220	16.81	22-Jan	31-Jan	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	240,000	16.74	22-Jan	31-Jan	12,000.00	5.0
LOMAS CAPITAL	040	LPX	B	200,000	16.82	22-Jan	31-Jan	6,000.00	3.0
B BUCK CAPITAL MGMT		LULU	C	600	45.02	17-Jan	29-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		LULU	SS	600	45.02	17-Jan	29-Jan	non-brg	1.0
PAR CAPITAL	309	LUV	B	100,000	20.41	24-Jan	31-Jan	4,000.00	4.0
B BUCK CAPITAL MGMT		MBUU	S	11,597	17.37	n/a	n/a	non-brg	2.5
LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,290	173.98	n/a	n/a	211.60	4.0
IVORY CAPITAL	084	MDY	SS	6,500	231.73	n/a	n/a	65.00	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	MDY	B	5,391	231.93	n/a	n/a	0.00	0.0
LISTED ERR	099	MDY	SS	5,391	231.89	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MET	B	110	0.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MOH	S	740	35.53	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	MOH	S	4000	35.55	n/a	n/a	0.00	0.0
BRONSON POINT	036	MO	C	50,000	34.39	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		MSMSAPF	C	11,700	35.88	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSAPF	SS	11,700	35.88	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MS	S	1,030	29.04	9-Jan	21-Jan	non-brg	1.0
STRONG/MARK GRONET	030	MTRX	S	410	25.42	n/a	n/a	16.40	4.0
ß BUCK CAPITAL MGMT		MVRX	C	5,100	284.72	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MVRX	SS	5,000	284.72	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MWV	S	760	35.41	n/a	30-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		M	B	6,400	51.36	23-Jan	24-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	460	51.35	23-Jan	24-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	6,200	51.34	23-Jan	24-Jan	non-brg	1.0
PRIMECAP MGMT	084	NEM	S	37,900	21.14	n/a	n/a	1,516.00	4.0
ß BUCK CAPITAL MGMT		NKE	B	800	71.69	n/a	29-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		NKE	S	900	71.69	n/a	29-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	NKTR	B	5,000	13.30	n/a	n/a	200.00	4.0
KEY ASSET MGMT/VICTORY	220	NLSN	B	132,910	41.11	n/a	n/a	5,316.40	4.0
EPOCH INV MGMT	030	NOV	S	6,650	73.52	n/a	n/a	199.50	3.0
NEW VERNON/SF INVESTMENTS	031	NQS	B	70,200	13.25	n/a	n/a	2,106.00	3.0
FORTRESS INVST (US)	036	NSC	B	28,000	89.62	23-Jan	23-Jan	1,120.00	4.0
ARDSLEY PARTNERS/RIDGECREST	306	OEF	C	5,000	78.00		n/a	n/a	200.00 4.0
f CHRISTY FRANK	FID	ONNN	B	1225	8.07	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	OPEN	C	200	72.13		n/a	n/a	8.00 4.0
B BUCK CAPITAL MGMT		OWW	S	2,160	7.10	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PCLN	C	20	1127.44	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	C	1,300	62.52	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	C	230	62.52	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	SS	1,200	62.53	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PFE	S	1,320	31.35	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PII	B	1,400	120.11	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PII	B	15,000	121.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	1,300	119.92	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	PKI	B	5,000	43.19	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		PLCE	C	20,000	51.05	n/a	8-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	C	900	51.47	n/a	8-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	SS	900	51.47	n/a	8-Jan	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	POWI	S	3,800	56.99	n/a	n/a	152.00	4.0
ß BUCK CAPITAL MGMT		PVH	B	2,100	117.54	24-Jan	24-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	2,100	117.36	24-Jan	24-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	90	117.34	24-Jan	24-Jan	non-brg	1.0
PRIMECAP MGMT	084	QGEN	B	30,000	21.95	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		RAD	B	43,200	5.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RAD	B	93,000	5.38	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RAD	S	42,300	5.43	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RAD	S	7,320	5.43	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RKT	S	80	103.09	3-Feb	3-Feb	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	100,000	103.64	3-Feb	3-Feb	5,000.00	5.0
ß BUCK CAPITAL MGMT		RLJE	B	6,600	4.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLJE	S	6,400	4.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RL	C	500	153.88	n/a	3-Feb	non-brg	1.0
ß BUCK CAPITAL MGMT		RL	SS	500	153.74	n/a	3-Feb	non-brg	1.0
MOORE CAPITAL	257	RL	B	10,000	153.99	n/a	3-Feb	300.00	3.0
BRONSON POINT	036	ROP	C	74,800	132.78	n/a	n/a	2,244.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	ROST	B	38,740	66.04	23-Jan	6-Jan	1,549.60	4.0
ARDSLEY PARTNERS/RIDGECREST		306 RWM	B	5,000	17.86		n/a	n/a	200.00 4.0
ß BUCK CAPITAL MGMT		R	B	7,200	68.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		R	S	330	69.48	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SBUX	B	4,000	69.93	n/a	30-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		SBUX	B	7,200	69.01	n/a	30-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		SBUX	S	4,000	69.96	n/a	30-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		SBUX	S	40	69.95	n/a	30-Jan	non-brg	1.0
CORNERSTONE	030	SBUX	B	160,000	69.68	n/a	30-Jan	6,400.00	4.0
f EDWARD W WHEELER	FID	SCSC	B	110	0.45	n/a	n/a	0.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		SHO	B	65,000	12.57	n/a	n/a	2,600.00	4.0
ß BUCK CAPITAL MGMT		SIG	B	2,200	77.45	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SIG	S	2,100	77.33	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	SS	20,000	28.05	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLM	B	22,000	22.24	n/a	23-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		SLM	S	660	22.43	n/a	23-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		SONC	B	2,800	17.43	n/a	17-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		SONC	S	2,800	17.42	n/a	17-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		SPN 6 C30	S	10	0.20	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SPN	S	1,150	22.94	n/a	n/a	non-brg	1.0
f MICHAEL MARRANO	FID	SPY	B	50	174.61	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	SPY	C	21,000	174.19	n/a	n/a	630.00	3.0
B BUCK CAPITAL MGMT		STT	S	480	65.52	27-Jan	27-Jan	non-brg	1.0
f CHRISTY FRANK	FID	SWKS	B	340	29.36	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS/RIDGECREST		306 SWN		S	10,000	40.88	n/a	n/a	400.00 4.0
ADAGE CAPITAL MGMT	310	SWY	B	224,173	30.28	n/a	n/a	6,725.19	3.0
S.A.C. CAPITAL	044	TGT	SS	50,000	55.45	n/a	10-Jan	1,500.00	3.0
ARDSLEY PARTNERS/RIDGECREST		306 TIF		C	400	80.64	n/a	n/a	16.00 4.0
B BUCK CAPITAL MGMT		TJX	B	2,200	56.20	23-Jan	6-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		TJX	S	2,300	56.23	23-Jan	6-Jan	non-brg	1.0
SCOPUS FUND	041	TRW	S	36,709	70.86	n/a	n/a	1,468.36	4.0
f MANNY I KORMAN	FID	TWX	S	2000	61.86	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TYC	S	1,545	39.67	31-Jan	3-Feb	61.80	4.0
B BUCK CAPITAL MGMT		UAL	S	420	44.33	24-Jan	3-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		UCP	S	1,110	14.00	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	UNH	S	43,560	71.56	n/a	n/a	1,742.40	4.0
ß BUCK CAPITAL MGMT		URBN	B	6,100	34.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	330	34.74	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	50,000	34.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	6,200	34.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	B	6,600	75.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URI	S	290	76.70	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	URI	S	15,670	75.24	n/a	n/a	626.80	4.0
BRANDWINE	028	VAR	S	42,780	78.26	n/a	n/a	1,711.20	4.0
SCOPUS FUND	041	VC	S	6,892	78.89	n/a	n/a	275.68	4.0
f MANNY I KORMAN	FID	VIAB	S	3000	80.18	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VMC	S	420	60.41	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VNCE	B	1,900	23.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VNCE	S	1,900	23.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VNCE	S	330	23.07	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VSI	C	400	43.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VSI	C	90	43.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VSI	SS	300	43.68	n/a	n/a	non-brg	1.0
f IAN L MILLER	FID	VXX	S	15	51.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		V	S	60	214.04	30-Jan	31-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		WAG	B	1,200	56.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	S	1,100	56.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	S	150	56.62	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	WAT	B	5,000	107.28	n/a	n/a	200.00	4.0
SCOPUS FUND	041	WCC	S	200	80.73	n/a	n/a	8.00	4.0
ß BUCK CAPITAL MGMT		WCIC	S	1,100	18.73	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WFM	C	170	52.29	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WFM	C	600	52.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WFM	SS	600	52.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WGO	B	11,899	23.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WGO	B	2,500	23.63	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WGO	S	2,500	23.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WHR	B	1,200	128.27	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WHR	B	4,000	126.51	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WHR	S	1,300	128.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WHR	S	120	127.84	n/a	n/a	non-brg	1.0
MOORE CAPITAL	257	WLT	C	70,000	10.68	n/a	n/a	2,100.00	3.0
ß BUCK CAPITAL MGMT		WSM	B	1,300	54.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WSM	S	1,300	54.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WSM	S	60	54.00	n/a	n/a	non-brg	1.0
ROSEDALE CAPITAL	046	WY	S	10,000	29.98	n/a	3-Feb	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	257	XLF	C	200,000	20.74	n/a	n/a	6,000.00	3.0
S.A.C. CAPITAL	044	XLI	B	20,000	49.53	n/a	n/a	600.00	3.0
SCOPUS FUND	041	XLS	S	10,763	18.76	n/a	n/a	430.52	4.0
FRONTIER	309	XON	B	51,650	31.57	n/a	n/a	2,066.00	4.0
B BUCK CAPITAL MGMT		XPO	B	20,600	24.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		XPO	S	620	24.30	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ZTS	S	820	30.41	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								169,735.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/31	COLUMBUS CAP MGMT LLC	084	CSCO	SS	26,000	21.86	n/a	n/a	1040.00 0.0
AO,CXL	01/31	COLUMBUS CAP MGMT LLC	084	CSCO	SS	26,000	21.86	n/a	n/a	1040.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	169,735.75
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	169,735.75
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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 3-Feb.

ETN, RKT

MRI Securities without Trade Activity on 3-Feb.

CGI, ENR, LEA

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<u>Legend:</u>
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)