



# Daily Compliance Activity Report

Trade Date: 12/31/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTFOUR CAPITAL	046	AAL	B	25,000	25.09	n/a	23-Dec	750.00	3.0
BUCK CAPITAL MGMT		AAPL	B	300	560.37	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		AAPL	S	300	560.37	n/a	n/a	non-brg	1.0
HARALAMBOS EFSTATHI	FID	AEO	B	700	14.52	n/a	n/a	0.00	0.0
ANGELOS EFSTATHIOU	FID	AGCO	S	100	58.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ALK	C	440	73.22	n/a	23-Dec	non-brg	1.0
BUCK CAPITAL MGMT		ALK	SS	440	73.22	n/a	23-Dec	non-brg	1.0
ANGELO CHRISTOS EFST	FID	AMRI	B	200	10.04	n/a	n/a	0.00	0.0
HARALAMBOS EFSTATHI	FID	AMRI	B	1000	10.03	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AMZN	B	200	396.25	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		AMZN	S	200	396.25	n/a	n/a	non-brg	1.0
NILSA VAZQUEZ	FID	AMZN	B	100	397.16	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ANN	S	31,673	36.63	n/a	n/a	1,266.92	4.0
BUCK CAPITAL MGMT		AXL	B	2,440	20.36	n/a	23-Dec	non-brg	1.0
BUCK CAPITAL MGMT		AXL	S	2,440	20.36	n/a	23-Dec	non-brg	1.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.39	n/a	23-Dec	400.00	4.0
BUCK CAPITAL MGMT		AXP	B	390	90.42	n/a	27-Dec	non-brg	1.0
BUCK CAPITAL MGMT		AXP	S	390	90.42	n/a	27-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BAC	B	3,760	15.54	n/a	18-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		BAC	S	3,760	15.54	n/a	18-Dec	non-brg	1.0
f HARALAMBOS EFSTATHI	FID	BAC	S	2000	15.55	n/a	18-Dec	0.00	0.0
f GERALD EPHRAM COHEN	FID	BAM	S	290	38.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BBBY	C	380	80.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BBBY	SS	380	80.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BBY	B	7,400	40.05	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BBY	S	7,400	40.05	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BCC	B	1,930	29.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BCC	S	1,930	29.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BHI	B	490	55.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BHI	S	490	55.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BLMN	B	20,000	24.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BONT	SS	20,000	16.33	n/a	9-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		CAR	B	1,870	40.47	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	B	11,000	40.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	S	1,870	40.48	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	S	11,000	40.46	n/a	n/a	non-brg	1.0
LAKWOOD CAPITAL MGMT	085	CDW	B	15,000	23.35	n/a	n/a	450.00	3.0
ß BUCK CAPITAL MGMT		CERN	C	330	55.76	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CERN	SS	330	55.76	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CHS	C	1,400	18.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CHS	SS	1,400	18.88	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	CHTR	S	5,000	135.48	19-Dec[i]	19-Dec	200.00	4.0
PROSPECTOR PARTNERS LLC	036	CNA	S	8,000	42.64	n/a	n/a	320.00	4.0
ß BUCK CAPITAL MGMT		CNC	B	820	58.64	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CNC	S	820	58.64	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COF	B	700	76.57	n/a	30-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		COF	S	700	76.57	n/a	30-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	C	130	56.17	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	C	3,000	56.08	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	SS	130	56.17	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	SS	3,000	56.08	n/a	n/a	non-brg	1.0
f ANGELO CHRISTOS EFST	FID	CVGI	S	200	7.30	n/a	n/a	0.00	0.0
f DANIEL J MCKENZIE	FID	CXE	S	2500	4.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		C	B	610	52.00	n/a	19-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		C	S	610	51.99	n/a	19-Dec	non-brg	1.0
f ANGELOS EFSTATHIOU	FID	DAL	B	200	27.53	3-Dec	23-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		DAL	B	220	27.50	3-Dec	23-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DAL	S	220	27.50	3-Dec	23-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTFOUR CAPITAL	046	DAN	SS	25,000	19.59	n/a	17-Dec	750.00	3.0
ß BUCK CAPITAL MGMT		DECK	B	4,000	83.98	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DECK	S	4,000	83.98	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DFS	B	860	55.76	n/a	27-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DFS	S	860	55.76	n/a	27-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DGX	B	820	54.06	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DGX	S	820	54.06	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	B	3,700	60.80	6-Dec	6-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	B	470	60.68	6-Dec	6-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	S	3,700	60.80	6-Dec	6-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	S	470	60.68	6-Dec	6-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DHI	B	2,090	22.18	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DHI	S	2,090	22.18	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DKS	B	690	58.06	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DKS	B	9,200	58.12	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DKS	S	690	58.06	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		DKS	S	9,200	58.12	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		EBAY	S	10,000	54.45	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		EBAY	S	20,000	54.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EBAY	S	20,000	54.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EBAY	S	21,300	54.04	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ELGX	B		34,958	17.43	n/a	n/a	1,048.74 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		EL	B	4,500	75.24	n/a	30-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		EL	S	4,500	75.24	n/a	30-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		ETN	B	470	76.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ETN	S	470	76.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		EXPE	C	550	69.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		EXPE	SS	550	69.24	n/a	n/a	non-brg	1.0
f GERALD EPHRAM COHEN	FID	FBNIQ	S	950	0.08	n/a	n/a	0.00	0.0
f LLOYD R KARP	FID	FCNTX	B	312	96.14	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FFRHX	B	30120	9.96	n/a	n/a	0.00	0.0
f SCHWARZWALDE R FAMIL	FID	FFRHX	B	1004	9.96	n/a	n/a	0.00	0.0
f SCHWARZWALDE R FAMIL	FID	FFRHX	B	40161	9.96	n/a	n/a	0.00	0.0
f SCHWARZWALDE R FAMIL	FID	FFRHX	B	50201	9.96	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	FIGFX	B	890	11.24	n/a	n/a	0.00	0.0
f LLOYD R KARP	FID	FIGRX	B	741	40.50	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	FLATX	B	480	31.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FL	B	20,600	41.52	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	940	41.50	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	S	20,600	41.52	n/a	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	S	940	41.50	n/a	26-Dec	non-brg	1.0
f SCHWARZWALDE R FAMIL	FID	FMPXX	B	1500000	1.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SCHWARZWALDE R FAMIL	FID	FMPXX	B	3500000	1.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FNP	B	16,300	32.04	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FNP	B	340	32.03	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FNP	S	16,300	32.04	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FNP	S	340	32.03	n/a	n/a	non-brg	1.0
f	DANIEL R SCHWARZWALD	FID	FNSXX	B	1000000	1.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FOSL	B	3,300	120.00	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FOSL	S	3,300	120.00	n/a	n/a	non-brg	1.0
f	DANIEL R SCHWARZWALD	FID	FSEVX	B	4680	53.42	n/a	n/a	0.00	0.0
f	LLOYD R KARP	FID	FSEVX	B	1123	53.42	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FSEVX	B	18720	53.42	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FSEVX	B	562	53.42	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FSEVX	B	7488	53.42	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FTK	B	1,950	20.02	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FTK	S	1,950	20.02	n/a	n/a	non-brg	1.0
f	RAVI SADARANGANI	FID	FUEL	S	200	60.61	n/a	n/a	0.00	0.0
f	DANIEL R SCHWARZWALD	FID	FUSVX	B	3817	65.49	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FUSVX	B	15270	65.49	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FUSVX	B	458	65.49	n/a	n/a	0.00	0.0
f	SCHWARZWALDE R FAMIL	FID	FUSVX	B	6108	65.49	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FWM	B	1,030	18.07	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FWM	B	17,500	18.06	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		FWM	S	1,030	18.07	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FWM	S	17,500	18.06	n/a	n/a	non-brg	1.0
f	HARALAMBOS EFSTATHI	FID	FWM	B	400	18.07	n/a	n/a	0.00	0.0
f	ANGELOS EFSTATHIOU	FID	FWWFX	B	609	24.62	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		F	C	1,100	15.31	n/a	31-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		F	SS	1,100	15.30	n/a	31-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GCO	B	20,000	73.62	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GCO	B	8,100	74.24	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		GCO	S	8,100	74.24	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		GES	C	1,500	31.29	n/a	5-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GES	SS	1,500	31.29	n/a	5-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIII	B	14,500	73.68	5-Dec	10-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIII	B	220	74.09	5-Dec	10-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIII	S	10,000	74.29	5-Dec	10-Dec	non-brg	3.0
ß	BUCK CAPITAL MGMT		GIII	S	14,500	73.68	5-Dec	10-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIII	S	220	74.02	5-Dec	10-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIII	S	5,000	74.59	5-Dec	10-Dec	non-brg	4.0
f	MANNY I KORMAN	FID	GILD	B	2000	74.39	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		GIL	B	10,500	53.28	n/a	9-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIL	S	10,500	53.28	n/a	9-Dec	non-brg	1.0
f	PATRICK O'GRADY	FID	GLBS	B	250	3.93	n/a	n/a	0.00	0.0
f	COLE THOMAS KAICHER	FID	GLNG	B	140	35.74	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f HARALAMBOS EFSTATHI	FID	GLW	S	500	17.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GM	B	1,840	40.82	n/a	31-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		GM	S	1,840	40.81	n/a	31-Dec	non-brg	1.0
GAMCO ASSET MNGMT	025	GM	B	9,958	40.64	n/a	31-Dec	298.74	3.0
SCOPUS FUND	041	GM	S	75,000	40.76	n/a	31-Dec	3,000.00	4.0
ß BUCK CAPITAL MGMT		GNC	B	10,600	58.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GNC	S	10,600	58.44	n/a	n/a	non-brg	1.0
f HARALAMBOS EFSTATHI	FID	GSVC	S	800	11.80	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HAL	B	510	50.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HAL	S	510	50.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	B	6,800	70.34	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	S	6,800	70.34	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HCA	B	1,000	47.60	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HCA	S	1,000	47.60	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	B	1,990	23.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	B	12,300	23.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	S	1,990	23.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	S	12,300	23.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	B	2,500	81.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	B	210	81.95	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	S	2,500	81.94	n/a	n/a	non-brg	1.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		HD	S	210	81.95	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HOS	C	520	48.92	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HOS	SS	520	48.92	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	B	2,570	28.10	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	S	2,570	28.10	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	S	25,000	27.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HTZ	S	25,000	27.16	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ICON	B	2,200	39.65	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ICON	S	2,200	39.65	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	B	630	49.11	n/a	20-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	S	630	49.11	n/a	20-Dec	non-brg	1.0
FRED ALGER MGMT	300	ISIS	B	28,855	39.86	n/a	n/a	1,038.78	4.0
⌘ BUCK CAPITAL MGMT		IWO	C	4,520	135.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWO	SS	4,520	135.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JBLU	B	9,010	8.60	5-Dec	23-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JBLU	S	9,010	8.60	5-Dec	23-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JIVE	B	3,170	11.11	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JIVE	S	3,170	11.11	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JPM	B	640	58.20	n/a	17-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JPM	S	640	58.19	n/a	17-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JWN	B	2,300	61.98	n/a	2-Dec	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß	BUCK CAPITAL MGMT		JWN	S	2,300	61.98	n/a	2-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		KEG	B	3,020	7.86	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KEG	S	3,020	7.86	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KMT	B	1,090	52.23	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KMT	S	1,090	52.23	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KND	B	1,100	19.78	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KND	S	1,100	19.78	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KORS	B	10,000	81.39	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KORS	B	420	81.24	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KORS	S	10,000	81.39	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		KORS	S	420	81.24	n/a	n/a	non-brg	1.0
f	HARALAMBOS EFSTATHI	FID	KORS	S	300	81.20	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		KSS	B	2,100	56.74	n/a	2-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		KSS	B	270	56.63	n/a	2-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		KSS	S	2,100	56.74	n/a	2-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		KSS	S	270	56.63	n/a	2-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		LPNT	B	650	52.54	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		LPNT	S	650	52.54	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		LPX	B	2,050	18.68	n/a	27-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		LPX	S	2,050	18.68	n/a	27-Dec	non-brg	1.0
	GALT INVESTMENT	041	LTM	S	6,000	46.95	n/a	n/a	300.00	5.0
f	JASON ERIC COHEN	FID	MDY	B	84	243.79	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DANIEL J MCKENZIE	FID	MKTSQ	S	3685	0.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MOH	B	1,250	34.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MOH	S	1,250	34.03	n/a	n/a	non-brg	1.0
f ROHINI T SADARANGANI	FID	MONIF	S	3000	1.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MSMSAPF	C	22,800	39.17	n/a	n/a	non-brg	0.4
ß BUCK CAPITAL MGMT		MSMSAPF	SS	22,800	39.17	n/a	n/a	non-brg	0.4
ß BUCK CAPITAL MGMT		MS	B	1,780	31.31	n/a	11-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		MS	S	1,780	31.30	n/a	11-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		MVRX	C	11,200	321.87	n/a	n/a	non-brg	3.2
ß BUCK CAPITAL MGMT		MVRX	SS	11,200	321.87	n/a	n/a	non-brg	3.2
ß BUCK CAPITAL MGMT		MWV	B	1,330	36.65	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MWV	S	1,330	36.65	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		M	B	14,400	53.52	n/a	2-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		M	B	790	53.46	n/a	2-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	14,400	53.52	n/a	2-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	790	53.46	n/a	2-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		NKE	B	1,400	78.41	16-Dec	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		NKE	S	1,400	78.41	16-Dec	26-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		NVGS	S	19,900	26.51	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OWW	B	3,810	7.24	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		OWW	S	3,810	7.24	n/a	n/a	non-brg	1.0
f KATHLEEN M CLARKE	FID	PAAS	S	1000	11.55	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	PBYI	B	8,270	103.21	n/a	n/a	297.72	4.0
ß BUCK CAPITAL MGMT		PCLN	C	40	1156.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PCLN	SS	40	1156.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	C	3,500	72.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	C	650	72.91	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	SS	3,500	72.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	SS	650	72.91	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	B	2,310	30.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	S	2,310	30.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PII	B	2,100	145.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PII	S	2,100	145.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	C	1,700	57.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	SS	1,700	57.46	n/a	n/a	non-brg	1.0
GALT INVESTMENT	041	PLCE	S	7,600	57.25	n/a	n/a	380.00	5.0
f MANNY I KORMAN	FID	PNRA	B	2000	177.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PVH	B	340	134.60	11-Dec	20-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	B	6,000	134.84	11-Dec	20-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	340	134.60	11-Dec	20-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	6,000	134.84	11-Dec	20-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		RAD	B	13,550	5.04	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RAD	B	97,600	5.04	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RAD	S	13,550	5.04	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RAD	S	97,600	5.04	n/a	n/a	non-brg 1.0
DONALD SMITH	088	RCL	S	40,000	47.45	n/a	n/a	1,200.00 3.0
ß BUCK CAPITAL MGMT		RKT	B	210	105.26	n/a	20-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		RKT	S	210	105.26	n/a	20-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		RLJE	B	14,800	4.36	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RLJE	S	14,800	4.36	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	B	2,700	176.19	n/a	12-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	B	90	176.18	n/a	12-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	S	2,700	176.19	n/a	12-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	S	90	176.18	n/a	12-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		R	B	600	73.76	n/a	19-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		R	S	600	73.76	n/a	19-Dec	non-brg 1.0
LAKEWOOD CAPITAL MGMT	085	SAH	B	15,000	24.46	n/a	n/a	450.00 3.0
ACK ASSET	028	SBUX	SS	27,500	78.13	n/a	30-Dec	825.00 3.0
ß BUCK CAPITAL MGMT		SBUX	B	4,900	78.33	n/a	30-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		SBUX	S	4,900	78.33	n/a	30-Dec	non-brg 1.0
f MARC PAUL LUCHANSKY	FID	SHW	B	100	183.45	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		SIG	B	4,000	78.74	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		SIG	S	4,000	78.74	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLM	B	550	26.28	n/a	9-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLM	S	550	26.28	n/a	9-Dec	non-brg	1.0
HARVEST MGMT	029	SONC	B	10,000	20.25	3-Dec[i]	6-Dec	400.00	4.0
⌘ BUCK CAPITAL MGMT		SPN	B	2,160	26.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPN	S	2,160	26.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		STT	B	830	73.16	n/a	11-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		STT	S	830	73.16	n/a	11-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TGT	C	2,000	63.50	n/a	19-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TGT	SS	2,000	63.50	n/a	19-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TJX	B	4,000	63.56	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TJX	S	4,000	63.56	n/a	n/a	non-brg	1.0
GALT INVESTMENT	041	TJX	S	9,900	63.80	n/a	n/a	495.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>TSLA</b>	<b>B</b>	<b>100</b>	<b>149.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
⌘ BUCK CAPITAL MGMT		UAL	B	850	37.72	n/a	23-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UAL	S	850	37.72	n/a	23-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UCP	B	1,910	14.66	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UCP	S	1,910	14.66	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	UFS	S	20,000	94.79	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		ULTA	B	2,300	95.88	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		ULTA	B	350	95.81	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ULTA	S	2,300	95.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ULTA	S	350	95.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	B	16,300	37.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	B	620	37.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	16,300	37.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	620	37.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	B	560	78.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	S	560	77.94	n/a	n/a	non-brg	1.0
f LLOYD R KARP	FID	VALIX	S	333	9.82	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	VFC	B	9,500	62.30	n/a	n/a	475.00	5.0
ß BUCK CAPITAL MGMT		VMC	B	740	59.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VMC	S	740	59.61	n/a	n/a	non-brg	1.0
LAKEWOOD CAPITAL MGMT	085	VXX	SS	25,000	42.68	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		V	B	140	221.89	n/a	19-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		V	S	140	221.89	n/a	19-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	B	2,000	57.52	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	B	310	57.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	S	2,000	57.52	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	S	310	57.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WCIC	B	1,740	19.02	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		WCIC	S	1,740	19.02	n/a	n/a	non-brg	1.0
f	ANGELOS EFSTATHIOU	FID	WFM	B	100	57.54	n/a	n/a	0.00	0.0
f	HARALAMBOS EFSTATHI	FID	WFM	B	300	57.49	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		WGO	B	20,000	27.15	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		WHR	B	2,400	156.85	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WHR	S	2,400	156.85	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WSM	B	130	58.61	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WSM	B	2,900	58.49	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WSM	S	130	58.61	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		WSM	S	2,900	58.49	n/a	n/a	non-brg	1.0
	SANDLER CAPITAL	028	WUBA	B	150,000	38.02	n/a	n/a	7,500.00	5.0
Õ	Nilsa Vazquez		WWW	S	400	34.03	n/a	n/a	0.00	0.0
	CAERUS GLOBAL	041	WY	B	10,000	31.52	n/a	27-Dec	400.00	4.0
ß	BUCK CAPITAL MGMT		XPO	B	770	26.78	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		XPO	S	770	26.78	n/a	n/a	non-brg	1.0
	FRED ALGER MGMT	300	XRX	S	104,113	12.17	n/a	n/a	3,748.07	4.0
f	RAVI SADARANGANI	FID	YELP	S	200	69.00	n/a	n/a	0.00	0.0
f	ROHINI T SADARANGANI	FID	YELP	S	100	68.99	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		ZTS	B	1,440	32.61	n/a	n/a	non-brg	1.0



	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B	BUCK CAPITAL MGMT		ZTS	S	1,440	32.60	n/a	n/a	non-brg 1.0
f	MARK ANTHONY GRONET	FID		B	510000	111.06	n/a	n/a	0.00 0.0
TOTAL (Trade Date):									27,543.97

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									27,543.97
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									27,543.97

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 31-Dec.  
NONE

MRI Securities without Trade Activity on 31-Dec.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)