



Daily Compliance Activity Report

Trade Date: 01/10/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAL	B	5,000	29.01	n/a	23-Dec	150.00	3.0
BESSEMER INVESTMENT	085	AAPL	B	45	539.63	n/a	n/a	1.80	4.0
f EDWARD W WHEELER	FID	AA	B	10000	10.13	n/a	n/a	0.00	0.0
ROYCE TRADING	031	ACW	B	5,000	4.20	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		AEO	B	25,000	15.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	15.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	40,000	15.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	90,000	15.62	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	AER	S	1,000	35.99	n/a	n/a	50.00	5.0
BESSEMER INVESTMENT	085	AET	B	485	70.95	n/a	n/a	19.40	4.0
BESSEMER INVESTMENT	085	AIG	B	200	51.99	n/a	n/a	8.00	4.0
KENNEDY CAPITAL	046	ALGT	B	5,151	102.83	n/a	n/a	206.04	4.0
B BUCK CAPITAL MGMT		ALK	C	2,470	78.77	n/a	23-Dec	non-brg	1.0
BROADARCH CAP/OLD NEWC	006	AMAT	B	2,000	17.48	n/a	n/a	80.00	4.0
f HARALAMBOS EFSTATHI	FID	AMRI	B	1000	10.84	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMRN	B	7500	2.19	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	ANF	B	25,000	37.19	n/a	n/a	1,000.00	4.0
DC CAPITAL	044	ATI	S	20,000	35.20	n/a	8-Jan	800.00	4.0
WHITE PINE CAPITAL	030	ATI	B	14,000	34.78	n/a	8-Jan	700.00	5.0
YG PARTNERS LLC	041	ATML	B	10,000	8.71	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	AWK	B	435	42.31	n/a	n/a	17.40	4.0
⚡ BUCK CAPITAL MGMT		AXL	S	12,175	20.14	n/a	23-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AXP	S	1,650	88.54	n/a	9-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BAC	S	18,738	16.66	9-Jan	10-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BBBY	C	1,100	69.51	n/a	n/a	non-brg	1.0
BTIG/LIGHT STREET CAPITAL	044	BBRY	B	50,000	8.86	n/a	n/a	1,500.00	3.0
⚡ MICHAEL C PERILLO	FID	BBW	B	400	7.71	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BCC	S	9,722	29.71	n/a	n/a	non-brg	1.0
⚡ DAVID GEORGE BUCK	FID	BDSI	B	7000	6.23	n/a	n/a	0.00	0.0
⚡ MARK ANTHONY GRONET	FID	BGC	B	1000	28.96	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BHI	S	2,450	52.14	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	BIIB	S	5,000	289.75	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BK	B	35,000	34.23	9-Jan	9-Jan	1,750.00	5.0
B BUCK CAPITAL MGMT		CAR	S	9,273	40.46	n/a	n/a	non-brg	1.0
TUDOR INVESTORS	028	CAT	B	5,000	89.99	n/a	n/a	150.00	3.0
f MANNY I KORMAN	FID	CELG	B	600	165.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CERN	C	1,798	54.83	n/a	n/a	non-brg	1.0
ACK ASSET	028	CHRW	B	70,900	57.33	n/a	19-Dec	2,127.00	3.0
SUFFOLK CAPITAL MGMT	040	CMCSA	S	6,900	53.21	19-Dec[i]	7-Jan	276.00	4.0
BESSEMER INVESTMENT	085	CMI	B	25	139.26	n/a	19-Dec	1.00	4.0
B BUCK CAPITAL MGMT		CNC	S	3,977	60.39	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COF	S	3,498	78.10	n/a	3-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		COH	C	350	56.00	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	COP	B	175	69.29	n/a	n/a	7.00	4.0
f FRANCIS MICHAEL MCCA	FID	CRDB	B	1000	8.51	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CTL	B	200	31.09	n/a	n/a	8.00	4.0
STELLIAM INV ADV	086	CX	B	75,000	12.39	n/a	n/a	3,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTY FRANK	FID	CYH	B	250	41.24	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	C	B	55	54.89	9-Jan	9-Jan	2.20	4.0
B BUCK CAPITAL MGMT		C	S	3,006	54.73	9-Jan	9-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		DAL	S	1,020	31.18	n/a	6-Jan	non-brg	1.0
CORTEX CAPITAL	031	DDD	SS	5,000	94.49	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		DFS	S	4,233	55.31	n/a	3-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		DGX	S	3,770	53.69	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	DG	B	260	61.55	n/a	9-Jan	10.40	4.0
B BUCK CAPITAL MGMT		DG	S	2,322	61.33	n/a	9-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		DHI	S	9,360	22.33	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		DKS	S	3,401	56.90	n/a	8-Jan	non-brg	1.0
SCOUT/UMB	047	DLTR	S	55,625	55.82	n/a	n/a	1,668.75	3.0
f MARK ANTHONY GRONET	FID	DVN	S	600	60.58	n/a	n/a	0.00	0.0
CORTEX CAPITAL	031	DV	B	15,000	37.91	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		ETN	S	2,210	75.95	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		EXPE	C	2,040	69.83	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL ALEXANDER SM	FID	FB	S	8	9.80	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FCNTX	B	10	96.17	n/a	n/a	0.00	0.0
SHEFFIELD ASSET MGMT	031	FDO	B	12,100	64.26	10-Jan	10-Jan	484.00	4.0
J. GOLDMAN	028	FDX	B	30,000	142.17	17-Dec	19-Dec	1,200.00	4.0
f SARA J SCHWARZWALDER	FID	FFRHX	B	2803	9.99	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	FLR	B	1,100	79.44	n/a	n/a	44.00	4.0
B BUCK CAPITAL MGMT		FL	S	4,650	41.25	n/a	8-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		FNP	S	1,810	31.30	n/a	n/a	non-brg	1.0
FARALLON CAP MGMT	040	FOXA	B	55,000	33.02	n/a	n/a	1,650.00	3.0
PALESTRA	040	FOX	B	50,000	32.33	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		FTK	S	10,014	18.57	n/a	n/a	non-brg	1.0
f ANTHONY SUTERA	FID	FWM	B	500	14.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FWM	S	5,440	14.38	n/a	n/a	non-brg	1.0
BROADARCH CAP/OLD NEWC	006	F	B	5,000	16.03	n/a	8-Jan	200.00	4.0
B BUCK CAPITAL MGMT		F	C	5,180	16.05	n/a	8-Jan	non-brg	1.0
CAERUS GLOBAL	041	F	SS	75,000	16.03	n/a	8-Jan	3,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	15.96	n/a	8-Jan	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GIII	S	1,057	70.01	n/a	9-Jan	non-brg	1.0
FRANCIS MICHAEL MCCA	FID	GLPW	B	200	18.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GM	S	9,299	40.14	n/a	8-Jan	non-brg	1.0
GAMCO ASSET MNGMT	025	GM	B	25,042	39.98	n/a	8-Jan	751.26	3.0
TUDOR INVESTORS	028	GM	B	10,000	39.91	n/a	8-Jan	300.00	3.0
MICHAEL ALEXANDER SM	FID	GOOG	S	1	274.58	n/a	n/a	0.00	0.0
MICHAEL ALEXANDER SM	FID	GOOG	S	5	272.80	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	GSK	S	10,000	52.68	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	006	GS	S	1,000	177.66	9-Jan	9-Jan	40.00	4.0
BUCK CAPITAL MGMT		HAL	S	2,420	50.18	n/a	n/a	non-brg	1.0
MANNY I KORMAN	FID	HBI	S	4000	69.81	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		HCA	S	4,920	51.11	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HDS	S	10,600	24.01	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HD	S	750	81.67	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HOS	C	47,120	44.65	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HTZ	S	12,988	27.77	n/a	n/a	non-brg	1.0
TUDOR INVESTORS	028	HTZ	B	20,000	27.90	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	IBM	B	70	188.54	n/a	n/a	2.80	4.0
f LARA HUNT SMITH	FID	INTC	S	20	0.25	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	INTC	S	10	0.26	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	INTC	S	20	0.26	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	INTC	S	50	0.26	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	IP	B	1,000	49.03	n/a	10-Jan	40.00	4.0
BROADARCH CAP/OLD NEWC	006	IP	S	1,000	48.93	n/a	10-Jan	40.00	4.0
B BUCK CAPITAL MGMT		IP	S	2,950	48.88	n/a	10-Jan	non-brg	1.0
HARVEY PARTNERS	086	IP	SS	45,000	48.96	n/a	10-Jan	2,250.00	5.0
NEUBERGER BERMAN	036	IP	S	15,000	48.85	n/a	10-Jan	600.00	4.0
ROVER CAPITAL PARTNERS	040	IP	SS	7,100	48.96	n/a	10-Jan	284.00	4.0
SAGE ASSET MGMT	025	IP	S	25,900	48.74	n/a	10-Jan	1,295.00	5.0
BROADARCH CAP/OLD NEWC	006	ITB	B	1,000	24.88	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		IWO	C	21,185	136.37	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		JBLU	S	42,210	9.09	n/a	7-Jan	non-brg	1.0
NUDGE CAPITAL FUND LP	006	JBLU	S	10,000	8.90	n/a	7-Jan	300.00	3.0
SUFFOLK CAPITAL MGMT	040	JBLU	S	77,700	9.09	n/a	7-Jan	3,108.00	4.0
f MARK ANTHONY GRONET	FID	JCI	S	200	51.43	7-Jan	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		JIVE	S	15,757	10.11	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	JLL	B	850	103.01	n/a	n/a	34.00	4.0
B BUCK CAPITAL MGMT		JPM	S	3,189	58.45	9-Jan	9-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		KBR	B	30,000	31.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KEG	S	13,930	7.42	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	KEY	B	3,030	13.68	n/a	n/a	121.20	4.0
LOCUST WOOD CAPITAL MGMT	044	KMI	S	53,040	35.92	n/a	n/a	2,121.60	4.0
⚡ BUCK CAPITAL MGMT		KMT	S	5,347	51.45	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KND	S	5,660	20.45	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KORS	S	2,230	79.24	n/a	9-Jan	non-brg	1.0
LATEEF MGMT	033	KR	B	500	39.60	n/a	n/a	50.00	10.0
⚡ BUCK CAPITAL MGMT		KSS	S	1,310	56.03	n/a	9-Jan	non-brg	1.0
LATEEF MGMT	033	K	B	500	60.71	n/a	n/a	55.00	11.0
BESSEMER INVESTMENT	085	LB	B	150	57.62	n/a	n/a	6.00	4.0
DISCIPLINED GROWTH INV.	030	LB	B	8,800	58.02	n/a	n/a	440.00	5.0
FARALLON CAP MGMT	040	LB	B	200	57.63	n/a	n/a	6.00	3.0
PRIMECAP MGMT	084	LLY	B	10,000	51.76	n/a	n/a	400.00	4.0
f HARALAMBOS EFSTATHI	FID	LOCK	B	600	16.72	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	LO	B	125	49.47	n/a	n/a	5.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		LPNT	S	2,770	55.67	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LPX	S	10,540	18.40	n/a	10-Jan	non-brg 1.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	50,000	18.58	n/a	10-Jan	2,500.00 5.0
NEWLAND CAPITAL MGT	025	LPX	B	15,000	18.36	n/a	10-Jan	600.00 4.0
ROSEDALE CAPITAL	046	LPX	S	10,000	18.54	n/a	10-Jan	400.00 4.0
IRIDIAN ASSET	036	LSI	S	245,100	10.99	n/a	n/a	12,255.00 5.0
BESSEMER INVESTMENT	085	LUV	B	4,200	20.70	n/a	9-Jan	168.00 4.0
BROADARCH CAP/OLD NEWC	006	LYB	B	500	80.30	n/a	n/a	20.00 4.0
WEXFORD CAPITAL	284	LYB	B	14,090	80.24	n/a	n/a	422.70 3.0
TUDOR INVESTORS	028	MHK	B	10,000	148.22	n/a	n/a	300.00 3.0
LOCUST WOOD CAPITAL MGMT	044	MIC	B	15,915	51.98	n/a	n/a	636.60 4.0
⌘ BUCK CAPITAL MGMT		MOH	S	6,430	36.93	n/a	n/a	non-brg 1.0
BESSEMER INVESTMENT	085	MRO	B	200	34.39	n/a	n/a	8.00 4.0
BROADARCH CAP/OLD NEWC	006	MRVL	B	2,000	15.44	n/a	n/a	80.00 4.0
PRIMECAP MGMT	084	MSI	S	2,000	66.30	n/a	n/a	80.00 4.0
BESSEMER INVESTMENT	085	MS	B	100	31.52	9-Jan	9-Jan	4.00 4.0
⌘ BUCK CAPITAL MGMT		MS	S	8,842	31.30	9-Jan	9-Jan	non-brg 1.0
⌘ BUCK CAPITAL MGMT		MWV	S	6,640	35.53	n/a	n/a	non-brg 1.0

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CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	35.66	n/a	n/a	750.00	5.0
BESSEMER INVESTMENT	085	MYL	B	455	45.07	11-Dec	9-Jan	18.20	4.0
SUFFOLK CAPITAL MGMT	040	MYL	S	6,940	45.33	11-Dec	9-Jan	277.60	4.0
BESSEMER INVESTMENT	085	M	B	305	55.38	9-Jan	9-Jan	12.20	4.0
ß BUCK CAPITAL MGMT		M	S	4,022	55.65	9-Jan	9-Jan	non-brg	1.0
TUDOR INVESTORS	028	NCS	B	10,000	19.00	n/a	n/a	300.00	3.0
f MICHAEL ALEXANDER SM	FID	NFLX	S	1	27.22	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	NFLX	S	5	27.31	n/a	n/a	0.00	0.0
Õ Nicolas Pakler		NHF	B	860	9.87	n/a	n/a	0.00	0.0
SCOGGIN LLC	041	NI	B	88,000	33.68	n/a	n/a	4,400.00	5.0
f EDWARD W WHEELER	FID	NPO	B	7000	59.19	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		OWW	S	17,740	6.99	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PCLN	C	159	1147.76	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	C	3,201	67.87	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	PFE	B	550	30.77	n/a	n/a	22.00	4.0
ß BUCK CAPITAL MGMT		PFE	S	11,462	30.67	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PIR	B	90,000	21.02	n/a	n/a	non-brg	4.0
WEXFORD CAPITAL	284	PNR	B	21,100	77.12	n/a	n/a	633.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHARLES MAXWELL KAIC	FID	PSUN	B	1200	2.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PVH	S	1,790	131.30	11-Dec	9-Jan	non-brg	1.0
NOKOMIS PARTNERS	031	P	B	12,000	32.95	n/a	n/a	360.00	3.0
BESSEMER INVESTMENT	085	QCOM	B	270	74.47	n/a	n/a	10.80	4.0
ß BUCK CAPITAL MGMT		RAD	S	63,300	5.65	n/a	n/a	non-brg	1.0
DISCIPLINED GROWTH INV.	030	RCL	B	4,325	48.62	n/a	n/a	216.25	5.0
DONALD SMITH	088	RCL	S	50,000	48.76	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		RKT	S	870	101.25	n/a	10-Jan	non-brg	1.0
HARVEY PARTNERS	086	RKT	SS	10,000	101.45	n/a	10-Jan	500.00	5.0
ß BUCK CAPITAL MGMT		RL	S	480	173.39	n/a	9-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		R	S	2,879	72.94	n/a	19-Dec	non-brg	1.0
DPB CAPITAL	029	SIRI	B	5,000	3.77	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		SLM	S	2,640	26.80	n/a	n/a	non-brg	1.0
KOLVEN CAPITAL	025	SPDC	B	1,200	4.28	n/a	n/a	36.00	3.0
ß BUCK CAPITAL MGMT		SPN 6 C30	S	82	0.42	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SPN	S	9,970	24.88	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ETHAN B HOCHSTIM	FID	SPY	B	100	183.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		STT	S	4,152	74.97	9-Jan	9-Jan	non-brg	1.0
LATEEF MGMT	033	SWY	B	250	32.50	n/a	n/a	30.00	12.0
COBALT	041	S	S	100,000	9.50	n/a	n/a	3,000.00	3.0
WADDELL AND REED	047	TCBI	B	32,000	62.96	n/a	n/a	1,280.00	4.0
SUFFOLK CAPITAL MGMT	040	TEX	S	16,600	41.24	n/a	n/a	664.00	4.0
BESSEMER INVESTMENT	085	TGT	B	195	62.96	n/a	10-Jan	7.80	4.0
B BUCK CAPITAL MGMT		TGT	C	70,400	62.73	n/a	10-Jan	non-brg	3.0
DISCIPLINED GROWTH INV.	030	TJX	B	8,000	63.97	n/a	6-Jan	400.00	5.0
TUDOR INVESTORS	028	TKR	S	10,000	54.46	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	TMO	B	130	114.29	n/a	n/a	5.20	4.0
SUFFOLK CAPITAL MGMT	040	TMO	S	5,010	113.79	n/a	n/a	200.40	4.0
f HARALAMBOS EFSTATHI	FID	TSLA	B	100	143.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UAL	S	4,210	45.14	9-Jan	9-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		UCP	S	9,510	14.50	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ULTA	S	1,670	91.96	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	UNP	B	80	169.20	n/a	19-Dec	3.20	4.0
J. GOLDMAN	028	UPS	SS	42,500	102.29	n/a	30-Dec	1,700.00	4.0
ß BUCK CAPITAL MGMT		URBN	S	2,880	37.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	S	2,929	79.05	n/a	n/a	non-brg	1.0
KOLVEN CAPITAL	025	USAT	B	4,000	2.20	n/a	n/a	120.00	3.0
BADGE CAPITAL	030	USG	B	2,000	30.70	n/a	18-Dec	70.00	4.0
SENATOR INVEST GROUP	287	VAL	S	46,000	72.61	n/a	n/a	1,380.00	3.0
BESSEMER INVESTMENT	085	VLO	B	655	53.16	n/a	n/a	26.20	4.0
ß BUCK CAPITAL MGMT		VMC	S	3,680	59.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VNCE	B	27,714	25.93	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		VNCE	B	3,300	25.73	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	VNCE	B	1000	26.54	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	VRX	B	50	131.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		V	S	487	220.66	10-Jan	10-Jan	non-brg	1.0
BESSEMER INVESTMENT	085	WAG	B	80	61.22	n/a	n/a	3.20	4.0
ß BUCK CAPITAL MGMT		WAG	B	18,000	60.48	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WAG	S	1,330	60.23	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		WCIC	S	8,890	18.34	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		WGO	B	25,000	26.45	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		WSM	S	490	57.99	n/a	n/a	non-brg 1.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	31.08	n/a	10-Jan	1,000.00 5.0
COLE THOMAS KAICHER	FID	YRCW	B	365	12.36	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		ZTS	S	7,120	32.45	n/a	n/a	non-brg 1.0
TOTAL (Trade Date):								73,951.20

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	01/09	FIRST NY SEC/CHRIS	041	AAL	S	10,000	28.94	n/a-2013-12-23	500.00 0.0
AO,CRT	01/09	FIRST NY SEC/CHRIS	041	AAL	S	10,000	28.94	n/a-2013-12-23	500.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	73,951.20
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	73,951.20
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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 10-Jan.

FDO, V

MRI Securities without Trade Activity on 10-Jan.

MA, PKG, FIVE, NYCB

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)