



Daily Compliance Activity Report

Trade Date: 01/09/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	B	14,000	39.49	n/a	n/a	420.00	3.0
B BUCK CAPITAL MGMT		ANF	SS	90,000	44.48	n/a	9-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	15,300	43.72	n/a	9-Jan	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	2,000	18.55	n/a	6-Jan	0.00	0.0
OHIO PERS	047	ARG	S	22,200	78.89	n/a	3-Jan	666.00	3.0
SYSTEMATIC FINANCIAL MGT	035	ASH	B	58,950	59.59	n/a	12-Dec	1,768.50	3.0
B BUCK CAPITAL MGMT		ASNA	C	50,000	33.56	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	CAKE	S	63,800	29.19	n/a	6-Jan	2,552.00	4.0
CATAPULT	040	CCK	SS	5,000	34.09	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		CCL	B	15,000	32.93	n/a	n/a	non-brg	4.0
TALPION LLC	040	CECO	S	4,900	8.16	n/a	n/a	147.00	3.0
BALLAST CAP	040	CFN	S	7,000	23.22	n/a	n/a	0.00	0.0
TALPION LLC	040	CODE	S	2,700	8.36	n/a	n/a	81.00	3.0
B BUCK CAPITAL MGMT		CROX	B	40,000	15.44	n/a	n/a	non-brg	4.0
TALPION LLC	040	CSGS	S	8,416	15.12	n/a	n/a	336.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOEL GIFFORD TISS	FID	CVGI	S	5000	10.23	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	DDS	B	30,000	44.93	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	DECK	S	100	85.01	n/a	n/a	4.00	4.0
RBC CAPITAL MARKETS	040	DG	S	5,000	40.65	n/a	5-Dec	200.00	4.0
B BUCK CAPITAL MGMT		DKS	C	30,000	34.89	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	C	60,000	34.89	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	B	20,000	19.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	B	20,000	19.29	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	EXPR	B	75,000	19.32	n/a	n/a	2,250.00	3.0
f CHRISTOPHER ROBERT C	FID	FAGIX	B	570	8.77	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	20,000	19.56	n/a	22-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	B	20,000	19.61	n/a	22-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	10,060	80.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIIL	S	50,000	23.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIIL	S	50,000	23.05	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	GM	C	25,000	22.93	n/a	6-Jan	1,250.00	5.0
OZ MGMT	040	GM	C	33,432	23.01	n/a	6-Jan	1,002.96	3.0
SENATOR INVESTMENT GROUP	036	GRA	S	45,000	46.09	n/a	n/a	1,350.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	HBI	B	20,000	22.81	n/a	9-Jan	1,000.00	5.0
ß BUCK CAPITAL MGMT		HLF	B	60,000	52.34	n/a	n/a	non-brg	4.0
TALPION LLC	040	HNT	S	10,100	33.18	n/a	n/a	404.00	4.0
MORTAR ROCK	033	INTC	SS	25,000	25.50	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		JCP	C	100,000	34.68	n/a	9-Jan	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	KSS	C	10,000	45.98	n/a	9-Jan	300.00	3.0
TUDOR INVESTORS	028	KSU	SS	2,000	70.49	n/a	n/a	60.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	B	1000	3.21	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	KVA	B	3000	1.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LIZ	B	150,000	8.84	n/a	7-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		LIZ	B	250,000	8.83	n/a	7-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		LULU	SS	50,000	53.53	n/a	2-Dec	non-brg	4.0
CASTLE ARK	031	MON	B	127,710	78.51	n/a	6-Jan	6,385.50	5.0
ß BUCK CAPITAL MGMT		MSMSRASH	C	387,794	99.57	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSRASH	C	387,795	99.57	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSRASH	C	522,000	99.57	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSRASH	SS	374,929	99.57	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓑ BUCK CAPITAL MGMT		MSMSRASH	SS	374,929	99.57	n/a	n/a	non-brg	0.0
Ⓑ BUCK CAPITAL MGMT		MSMSRASH	SS	504,682	99.57	n/a	n/a	non-brg	0.0
ARMATURE CAPITAL	041	MWV	SS	45,000	29.43	n/a	26-Oct	1,800.00	4.0
BALLAST CAP	040	MWV	SS	13,700	29.29	n/a	26-Oct	0.00	0.0
CATAPULT	040	MWV	SS	5,000	29.32	n/a	26-Oct	200.00	4.0
ƒ JOHN MICHAEL ZOLIDIS	FID	NFLX	S	40	98.45	n/a	n/a	0.00	0.0
ƒ ANTHONY SUTERA	FID	NLY	B	1000	16.15	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.21	n/a	n/a	800.00	4.0
ƒ HARALAMBOS EFSTATHI	FID	NYB	B	700	13.16	n/a	5-Jan	0.00	0.0
TUDOR INVESTORS	028	ODFL	S	8,000	38.60	n/a	n/a	240.00	3.0
COLUMBUS CIRCLE	036	PAY	S	5,031	37.03	n/a	n/a	201.24	4.0
Ⓑ BUCK CAPITAL MGMT		PCLN	SS	1,000	479.84	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	38.55	n/a	n/a	200.00	4.0
Ⓑ BUCK CAPITAL MGMT		PLCE	B	50,000	48.49	n/a	5-Jan	non-brg	4.0
METROPOLITAN CAPITAL	044	PLCE	B	6,700	48.26	n/a	5-Jan	335.00	5.0
Ⓑ BUCK CAPITAL MGMT		PVH	S	20,000	73.19	n/a	9-Jan	non-brg	4.0
Ⓑ BUCK CAPITAL MGMT		PVH	S	20,000	73.19	n/a	9-Jan	non-brg	4.0
Õ Nilsa Vazquez		REE	S	1000	6.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SIG	C	22,000	46.88	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	C	50,000	46.88	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	C	50,000	46.88	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	070	SLB	B	12,710	68.71	n/a	n/a	508.40	4.0
CATAPULT	040	SON	SS	5,000	32.68	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	SPN	S	7,816	30.28	n/a	n/a	312.64	4.0
⚡ BUCK CAPITAL MGMT		SSI	S	22,500	13.06	n/a	n/a	non-brg	2.5
f WILLIAM J GAULT	FID	SWN	B	1000	33.07	n/a	6-Jan	0.00	0.0
MERRILL ASSET/BLACKROCK	297	SWY	S	36,000	21.59	n/a	n/a	1,440.00	4.0
TUDOR INVESTORS	028	SXC	B	6,900	11.56	n/a	n/a	207.00	3.0
DEVENNY CAP LLC	044	TEN	SS	10,000	31.61	n/a	n/a	300.00	3.0
f MARC PAUL LUCHANSKY	FID	TEVA	B	200	44.71	n/a	9-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	B	150	67.01	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TIF	SS	300	66.94	n/a	n/a	12.00	4.0
TUDOR INVESTORS	028	TKR	S	5,000	41.20	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	UN	B	65,560	33.65	n/a	n/a	2,622.40	4.0
⚡ BUCK CAPITAL MGMT		URBN	SS	100,000	28.02	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		URBN	SS	50,000	28.02	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		URBN	SS	50,000	28.32	n/a	n/a	non-brg	4.0
f	ANGELOS EFSTATHIOU	FID	V	S	70	99.79	n/a	5-Jan	0.00	0.0
	CAISSE DEPOT PLACEMENT Q	295	V	S	22,000	99.66	n/a	5-Jan	1,100.00	5.0
f	HARALAMBOS EFSTATHI	FID	V	S	200	99.81	n/a	5-Jan	0.00	0.0
f	ANTHONY SUTERA	FID		S	17000	102.05	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID		B	50000	80.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									33,506.28	

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):									33,506.28
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									33,506.28
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/06	BUCK CAPITAL MGMT	BONT	S	46,200	2.91	n/a	n/a	462.00 1.0

MRI Securities with Trade Activity on 9-Jan.
NONE

MRI Securities without Trade Activity on 9-Jan.
NDN, FDO, PRX

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)