



# Daily Compliance Activity Report

Trade Date: 05/01/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	37.02	n/a	n/a	355.20	0.0
HOPLITE MGMT	025	ADSK	S	40,962	39.35	n/a	n/a	1,638.48	0.0
LEVIN CAPITAL STRATEGIES	041	ADT	B	21,800	41.41	n/a	n/a	654.00	0.0
BUCK CAPITAL MGMT		AEO	B	25,000	18.89	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	600	19.33	n/a	2-Dec	non-brg	1.0
BUCK CAPITAL MGMT		AEO	S	200,000	18.86	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	600	19.31	n/a	2-Dec	non-brg	1.0
JONATHAN RICHARD HAR	FID	AEO	B	55	0.75	n/a	2-Dec	0.00	0.0
S.A.C. CAPITAL	044	AEO	SS	50,000	19.00	n/a	2-Dec	1,500.00	0.0
FOCUSED INVESTORS	084	AET	B	200	58.02	n/a	n/a	8.00	0.0
PAULSON & CO INC	041	AGN	C	73,515	99.55	n/a	1-May	2,205.45	0.0
ROSEDALE CAPITAL	046	AMTD	B	15,000	19.35	n/a	n/a	600.00	0.0
BUCK CAPITAL MGMT		ANF	B	200	49.45	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ANF	S	200	49.45	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ANN	C	200	29.28	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ANN	SS	200	29.21	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		APC	B	100	83.20	n/a	30-Apr	non-brg	1.0
BUCK CAPITAL MGMT		APC	S	100	83.19	n/a	30-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	086	ARRAY	B	49,000	4.30	n/a	n/a	980.00	0.0
ß BUCK CAPITAL MGMT		ARO	C	100,000	14.69	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	C	100	14.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ARO	C	200,000	14.41	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	SS	100	14.73	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		AXL	B	1,600	13.36	n/a	30-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		AXL	S	1,600	13.33	n/a	30-Apr	non-brg	1.0
GEORGE WEISS	278	AXL	S	10,000	13.48	n/a	30-Apr	400.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	20,000	13.38	n/a	30-Apr	800.00	0.0
ß BUCK CAPITAL MGMT		AXP	B	200	68.78	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		AXP	S	200	68.77	n/a	26-Apr	non-brg	1.0
FOCUSED INVESTORS	084	AXP	B	600	68.75	n/a	26-Apr	24.00	0.0
ß BUCK CAPITAL MGMT		BAC	B	1,100	12.18	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		BAC	S	1,100	12.17	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		BA	B	100	91.23	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		BA	S	100	91.21	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		BBBY	C	100	68.84	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BBBY	SS	100	68.79	n/a	n/a	non-brg	1.0
FOCUSED INVESTORS	084	BDX	B	200	94.81	n/a	n/a	8.00	0.0
CAPITAL GROWTH MGMT.	241	BEE	S	200,000	8.03	n/a	n/a	6,000.00	0.0
ß BUCK CAPITAL MGMT		BHI	B	200	44.54	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BHI	S	200	44.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BID	C	200	35.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BID	SS	200	34.95	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BLMN	S	101,017	20.83	n/a	n/a	non-brg	1.0
f JOSEPH CIRO AMATURO	FID	BONT	B	1000	14.71	n/a	26-Apr	0.00	0.0
SAGE ASSET MGMT	025	BZ	B	35,000	7.63	n/a	n/a	1,750.00	0.0
STELLIAM INV ADV	086	CAH	S	20,000	44.28	n/a	n/a	800.00	0.0
ß BUCK CAPITAL MGMT		CAR	B	800	28.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	S	800	28.61	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CCL	SS	30,000	34.06	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	CGI	B	14,100	16.45	n/a	n/a	423.00	0.0
ß BUCK CAPITAL MGMT		CNC	B	300	46.29	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CNC	S	300	46.22	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COF	B	300	57.52	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		COF	S	300	57.50	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	C	100	58.48	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	SS	100	58.45	n/a	24-Apr	non-brg	1.0
f DAVID GEORGE BUCK	FID	CVS	S	40	0.26	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOCUSED INVESTORS	084	CVS	B	500	58.85	n/a	n/a	20.00	0.0
OSKIE CAPITAL MGMT	224	CWH	B	40,000	22.10	n/a	n/a	2,000.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.63	n/a	n/a	400.00	0.0
ß BUCK CAPITAL MGMT		C	B	200	46.16	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		C	S	200	46.15	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		DAL	B	700	17.29	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		DAL	S	700	17.28	n/a	24-Apr	non-brg	1.0
CAPITAL GROWTH MGMT.	241	DAL	B	50,000	16.81	n/a	24-Apr	2,000.00	0.0
LATEEF MGMT	033	DAL	S	850	16.89	n/a	24-Apr	90.00	0.0
ß BUCK CAPITAL MGMT		DFS	B	300	43.95	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		DFS	S	300	43.95	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	B	400	52.31	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		DG	S	400	52.30	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		DHI	B	300	25.65	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DHI	S	300	25.64	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIA	C	400	147.59	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIA	SS	400	147.57	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	DIS	S	20	0.67	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	DRI	B	25,000	51.58	n/a	15-Apr	750.00	0.0
ß BUCK CAPITAL MGMT		DVN	B	200	55.36	n/a	1-May	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		DVN	S	200	55.32	n/a	1-May	non-brg	1.0
f RAVI SADARANGANI	FID	DVN	B	500	56.37	n/a	1-May	0.00	0.0
ß BUCK CAPITAL MGMT		ETN	B	200	60.63	n/a	29-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		ETN	S	200	60.63	n/a	29-Apr	non-brg	1.0
CR INTRINIC INVESTMENT	044	FDX	SS	10,000	92.38	n/a	n/a	350.00	0.0
ß BUCK CAPITAL MGMT		FINL	B	900	19.17	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FINL	S	900	19.17	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	400	34.66	n/a	1-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	S	400	34.64	n/a	1-May	non-brg	1.0
CR INTRINIC INVESTMENT	044	FL	S	10,000	34.73	n/a	1-May	350.00	0.0
MACELLUM CAPITAL	086	FL	B	60,000	34.77	n/a	1-May	1,800.00	0.0
ß BUCK CAPITAL MGMT		FOR	B	300	21.41	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		FOR	S	300	21.38	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	B	5,000	95.15	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FRAN	B	20,000	27.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	20,000	27.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	400	28.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FRAN	S	400	28.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FWM	B	35,000	17.27	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FWM	B	4,269	17.23	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	100	40.75	n/a	n/a	non-brg	1.0

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⌘ BUCK CAPITAL MGMT		GIII	S	100	40.63	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	S	30,000	40.18	n/a	22-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GM	B	700	30.78	n/a	1-May	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GM	S	700	30.77	n/a	1-May	non-brg	1.0
CAERUS GLOBAL	041	GM	B	30,000	31.01	n/a	1-May	1,200.00	0.0
CAERUS GLOBAL	041	GM	S	6,900	30.80	n/a	1-May	276.00	0.0
OZ MGMT	040	GM	B	100,000	30.19	n/a	1-May	3,000.00	0.0
FOCUSED INVESTORS	084	GS	B	200	142.85	n/a	16-Apr	8.00	0.0
CR INTRINSIC/CHRIS C	041	GTLS	SS	25,000	83.54	n/a	n/a	875.00	0.0
⌘ BUCK CAPITAL MGMT		HAL	B	400	41.91	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HAL	S	400	41.89	n/a	n/a	non-brg	1.0
CAMBIAR CAP	046	HBI	S	18,400	49.60	n/a	24-Apr	736.00	0.0
LOMAS CAPITAL	040	HD	B	22,100	73.33	n/a	n/a	663.00	0.0
PAULSON & CO INC	041	HNZ	S	100,000	72.44	n/a	n/a	3,000.00	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	32.43	n/a	1-May	400.00	0.0
⌘ BUCK CAPITAL MGMT		HTZ	B	1,000	23.73	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	S	1,000	23.72	n/a	n/a	non-brg	1.0
FOCUSED INVESTORS	084	IBM	B	200	200.79	n/a	n/a	8.00	0.0
⌘ BUCK CAPITAL MGMT		IJH	C	200	114.98	n/a	n/a	non-brg	1.0

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ß	BUCK CAPITAL MGMT		IJH	SS	200	114.98	n/a	n/a	non-brg	1.0
f	YANAI A FRANK	FID	INTC	S	40	0.32	n/a	n/a	0.00	0.0
	NEWLAND CAPITAL MGT	025	IR	SS	5,000	52.62	n/a	27-Mar	200.00	0.0
ß	BUCK CAPITAL MGMT		IWO	C	1,300	106.28	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		IWO	SS	1,300	106.28	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		JBLU	B	900	6.82	n/a	26-Apr	non-brg	1.0
ß	BUCK CAPITAL MGMT		JBLU	S	900	6.81	n/a	26-Apr	non-brg	1.0
ß	BUCK CAPITAL MGMT		JCP	S	100,000	15.99	n/a	30-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		JIVE	B	900	14.37	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		JIVE	S	900	14.27	n/a	n/a	non-brg	1.0
	MERRILL ASSET/BLACKROCK	297	JLL	B	6,600	100.03	n/a	n/a	264.00	0.0
	FOCUSED INVESTORS	084	JNJ	B	400	84.94	n/a	n/a	16.00	0.0
ß	BUCK CAPITAL MGMT		JOY	B	100	55.27	n/a	11-Jul	non-brg	1.0
ß	BUCK CAPITAL MGMT		JOY	S	100	55.27	n/a	11-Jul	non-brg	1.0
ß	BUCK CAPITAL MGMT		JPM	B	200	48.41	n/a	15-Apr	non-brg	1.0
ß	BUCK CAPITAL MGMT		JPM	S	200	48.40	n/a	15-Apr	non-brg	1.0
	FOCUSED INVESTORS	084	JPM	B	500	48.03	n/a	15-Apr	20.00	0.0
	GATOR CAPITAL MGMT LLC	093	KKR	B	3,475	20.83	n/a	n/a	104.25	0.0
ß	BUCK CAPITAL MGMT		KMT	B	300	39.57	n/a	n/a	non-brg	1.0

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ß BUCK CAPITAL MGMT		KMT	S	300	39.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KNX	B	400	15.47	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KNX	S	400	15.45	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KORS	B	300	57.00	n/a	22-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		KORS	S	300	56.95	n/a	22-Apr	non-brg	1.0
FOCUSED INVESTORS	084	KO	B	800	42.36	n/a	1-May	32.00	0.0
ß BUCK CAPITAL MGMT		KSS	C	200	47.02	n/a	8-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	SS	200	46.99	n/a	8-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		LEA	B	100	57.96	n/a	29-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		LEA	S	100	57.91	n/a	29-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		LEG	C	100	32.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		LEG	SS	100	32.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		LEG	SS	20,000	31.79	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LEN	B	200	40.59	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		LEN	S	200	40.55	n/a	n/a	non-brg	1.0
CYRUS CAPITAL	025	LPX	SS	20,000	17.70	n/a	1-May	600.00	0.0
ß BUCK CAPITAL MGMT		LUV	C	300	13.71	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		LUV	SS	300	13.70	n/a	26-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		MCD	SS	10,000	101.59	n/a	22-Apr	non-brg	4.0
FOCUSED INVESTORS	084	MCD	B	400	102.12	n/a	22-Apr	16.00	0.0



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⌘ BUCK CAPITAL MGMT		MDT	B	100	46.71	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDT	S	100	46.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDY	C	100	209.60	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDY	SS	100	209.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MFRM	SS	17,604	37.33	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	MLHR	B	28,434	24.33	n/a	n/a	853.02	0.0
PROSPECTOR PARTNERS LLC	036	MMC	B	10,000	37.90	n/a	n/a	300.00	0.0
FOCUSED INVESTORS	084	MMM	B	200	104.66	n/a	n/a	8.00	0.0
⌘ BUCK CAPITAL MGMT		MOH	B	300	33.26	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MOH	S	300	33.21	n/a	n/a	non-brg	1.0
FOCUSED INVESTORS	084	MSFT	B	1,100	32.71	n/a	n/a	44.00	0.0
⌘ BUCK CAPITAL MGMT		MS	B	600	21.89	n/a	18-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MS	S	600	21.88	n/a	18-Apr	non-brg	1.0
FOCUSED INVESTORS	084	MS	B	600	21.78	n/a	18-Apr	24.00	0.0
GATOR CAPITAL MGMT LLC	093	MS	B	2,360	21.70	n/a	18-Apr	70.80	0.0
f YANAI A FRANK	FID	MTG	B	4000	5.10	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MTOR	B	2,000	5.80	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MTOR	S	2,000	5.80	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MWV	B	500	33.72	n/a	30-Apr	non-brg	1.0

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⚡ BUCK CAPITAL MGMT		MWV	S	500	33.70	n/a	30-Apr	non-brg	1.0
CORVEX CAPITAL	041	MWV	B	122,000	33.63	n/a	30-Apr	3,660.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	33.97	n/a	30-Apr	750.00	0.0
⚡ BUCK CAPITAL MGMT		M	B	300	44.42	n/a	26-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		M	S	300	44.42	n/a	26-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		NCLH	B	15,000	31.07	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NCLH	B	15,000	31.20	n/a	n/a	non-brg	2.5
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	11,838	8.91	n/a	n/a	355.14	0.0
FOCUSED INVESTORS	084	NKE	B	300	64.04	n/a	1-May	12.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NUAN	B	73,615	18.94		n/a	n/a	1,472.30 0.0
BRIGADE CAPITAL MGMT	029	ORIG	B	30,000	16.23	n/a	n/a	900.00	0.0
⚡ KATHLEEN M CLARKE	FID	PAAS	B	1000	12.75	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	PANW	S	5,704	52.85	n/a	n/a	228.16	0.0
FOCUSED INVESTORS	084	PEP	B	500	82.57	n/a	n/a	20.00	0.0
SUFFOLK CAPITAL MGMT	040	PEP	S	176,300	82.60	n/a	n/a	7,052.00	0.0
⚡ BUCK CAPITAL MGMT		PETM	C	200	68.08	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PETM	SS	200	67.97	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PFE	B	700	28.95	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PFE	S	700	28.94	n/a	n/a	non-brg	1.0

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FOCUSED INVESTORS	084	PFE	B	700	29.29	n/a	n/a	28.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PFE	B	104,707	29.01		n/a	3,350.62	0.0
FOCUSED INVESTORS	084	PG	B	300	77.40	n/a	1-May	12.00	0.0
CAPITAL GROWTH MGMT.	241	PHM	B	50,000	20.77	n/a	n/a	2,500.00	0.0
ß BUCK CAPITAL MGMT		PLCE	C	100	48.40	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	SS	100	48.31	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	B	200	115.48	n/a	22-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	200	115.41	n/a	22-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		RDN	B	1,500	12.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RDN	S	1,500	12.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLGY	B	100	48.39	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLGY	S	100	48.26	n/a	n/a	non-brg	1.0
COLUMBUS CIRCLE	036	RLGY	S	3,675	48.39	n/a	n/a	147.00	0.0
EPOCH INV MGMT	030	RYL	S	63,813	43.98	n/a	n/a	1,914.39	0.0
ß BUCK CAPITAL MGMT		R	B	100	57.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		R	S	100	57.31	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	SCHW	B	10,000	16.26	n/a	n/a	400.00	0.0
ß BUCK CAPITAL MGMT		SCSS	SS	40,000	20.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	S	20,000	47.29	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	SJI	B	10,928	61.39	n/a	n/a	437.12	0.0
⌘ BUCK CAPITAL MGMT		SLM	B	500	20.73	n/a	22-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLM	S	500	20.72	n/a	22-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLXP	C	300	52.24	n/a	29-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLXP	SS	300	52.14	n/a	29-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPN	B	400	27.16	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPN	S	400	27.13	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	SSD	B	47,830	28.04	n/a	n/a	1,434.90	0.0
⌘ BUCK CAPITAL MGMT		STT	B	300	58.30	n/a	19-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		STT	S	300	58.28	n/a	19-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SWN	B	500	36.95	n/a	30-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SWN	S	500	36.95	n/a	30-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TEVA	B	500	38.10	n/a	1-May	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TEVA	S	500	38.10	n/a	1-May	non-brg	1.0
FOCUSED INVESTORS	084	TGT	B	400	70.65	n/a	18-Apr	16.00	0.0
⌘ BUCK CAPITAL MGMT		TITN	B	600	22.15	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TITN	S	600	22.10	n/a	n/a	non-brg	1.0
COHE & STEERS	041	TPH	B	7,000	18.29	n/a	n/a	210.00	0.0
⌘ BUCK CAPITAL MGMT		TPX	SS	20,000	47.29	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		UAL	C	200	32.49	n/a	26-Apr	non-brg 1.0
ß BUCK CAPITAL MGMT		UAL	SS	200	32.47	n/a	26-Apr	non-brg 1.0
PIMCO	084	UAL	S	110,000	31.78	n/a	26-Apr	2,200.00 0.0
ß BUCK CAPITAL MGMT		ULTA	B	100	87.03	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		ULTA	S	100	86.93	n/a	n/a	non-brg 1.0
FOCUSED INVESTORS	084	UNH	B	300	59.60	n/a	n/a	12.00 0.0
ß BUCK CAPITAL MGMT		URBN	B	200	41.32	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		URBN	S	200	41.28	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		URI	B	200	52.19	n/a	17-Apr	non-brg 1.0
ß BUCK CAPITAL MGMT		URI	S	200	52.11	n/a	17-Apr	non-brg 1.0
SAGE ASSET MGMT	025	VLO	S	6,900	38.84	n/a	n/a	345.00 0.0
ß BUCK CAPITAL MGMT		VMC	B	200	49.21	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		VMC	S	200	49.08	n/a	n/a	non-brg 1.0
FRONTIER	029	WBMD	B	50,000	23.73	n/a	n/a	2,000.00 0.0
ß BUCK CAPITAL MGMT		WFC	C	200	37.91	n/a	15-Apr	non-brg 1.0
ß BUCK CAPITAL MGMT		WFC	SS	200	37.90	n/a	15-Apr	non-brg 1.0
FOCUSED INVESTORS	084	WFC	B	600	37.84	n/a	15-Apr	24.00 0.0
FOCUSED INVESTORS	084	WLP	B	300	72.63	n/a	n/a	12.00 0.0
ß BUCK CAPITAL MGMT		WMT	C	46,500	78.32	n/a	22-Feb	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		WMT	SS	13,000	78.17	n/a	22-Feb	non-brg	4.0
FOCUSED INVESTORS	084	WMT	B	700	78.36	n/a	22-Feb	28.00	0.0
ß BUCK CAPITAL MGMT		WNC	B	1,600	9.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WNC	S	1,600	9.10	n/a	n/a	non-brg	1.0
f JONATHAN RICHARD HAR	FID	WTSL	B	3000	3.29	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XLF	C	300	18.64	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLF	SS	300	18.63	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XPO	B	300	16.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XPO	S	300	16.48	n/a	n/a	non-brg	1.0
f IAN L MILLER	FID	XRM	B	125	9.21	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	C	27,000	72.75	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	300	73.16	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	SS	300	73.12	n/a	n/a	non-brg	1.0
f GAVIN N CADWALLADER	FID	YACKX	B	115	21.74	n/a	n/a	0.00	0.0
FOCUSED INVESTORS	084	ZMH	B	200	76.10	n/a	n/a	8.00	0.0
TOTAL (Trade Date) :							68,152.83		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/30	CR INTRINIC INVESTMENT	044	GD	B	15,000	73.92	n/a	5-Apr	525.00	0.0
AO,CRT	04/30	CR INTRINIC INVESTMENT	044	GD	B	15,000	73.92	n/a	5-Apr	450.00	3.0
AO,CRT	04/30	CR INTRINIC INVESTMENT	044	LULU	SS	10,000	75.40	n/a	1-May	300.00	3.0
AO,CXL	04/30	CR INTRINIC INVESTMENT	044	LULU	SS	10,000	75.40	n/a	1-May	350.00	0.0
AO,CXL	04/30	NOMURA CAPITAL	029	MX	S	1,239	16.02	n/a	n/a	37.17	0.0
AO,	04/30	NOMURA CAPITAL	029	MX	S	1,239	16.02	n/a	n/a	37.17	0.0
AO,CRT	04/30	NOMURA CAPITAL	029	QUAD	S	1	21.01	n/a	n/a	0.03	0.0
AO,CXL	04/30	NOMURA CAPITAL	029	QUAD	S	1	21.01	n/a	n/a	0.03	0.0
AO,CXL	04/30	NOMURA CAPITAL	029	RFP	S	1,362	14.07	n/a	n/a	40.86	0.0
AO,	04/30	NOMURA CAPITAL	029	RFP	S	1,362	14.07	n/a	n/a	40.86	0.0
AO,CRT	04/30	NOMURA CAPITAL	029	SIX	S	6,778	73.02	n/a	n/a	203.34	0.0
AO,CXL	04/30	NOMURA CAPITAL	029	SIX	S	6,778	73.02	n/a	n/a	203.34	0.0
AO,CRT	04/30	LISTED ERR	099	SSI	B	200	27.21	n/a	11-Apr	0.00	0.0
AO,CXL	04/30	LISTED ERR	099	SSI	B	200	27.21	n/a	11-Apr	10.00	0.0
AO,CXL	04/30	NOMURA CAPITAL	029	VC	S	9,887	57.49	n/a	n/a	0.00	0.0
AO,CRT	04/30	NOMURA CAPITAL	029	VC	S	9,887	57.49	n/a	n/a	296.61	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>161.61</b>	

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TOTAL (Trade Date):	68,152.83
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TOTAL (AO, CXL, CRT):	161.61
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>68,314.44</b>
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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 1-May.  
NONE

MRI Securities without Trade Activity on 1-May.  
NONE

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)**