



Daily Compliance Activity Report

Trade Date: 12/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f SERGEI BARANOVSKY	FID	AAPL	B	2	2.06	n/a	n/a	0.00	0.0
FRED ALGER MGMT	035	AGNC	S	112,610	29.10	n/a	n/a	4,053.96	0.0
PZENA INV ADV	044	AIZ	B	1,500	34.91	n/a	n/a	52.50	0.0
HOLLIS CAPITAL	033	AMRN	S	5,000	7.64	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ANF	B	22,000	45.07	n/a	15-Nov	non-brg	4.0
M&I FUNDS	047	ARIA	B	5,826	20.08	n/a	n/a	233.04	4.0
MACELLUM CAPITAL	086	ASNA	SS	40,000	17.97	n/a	n/a	1,200.00	3.0
B BUCK CAPITAL MGMT		ATI	S	25,700	29.64	n/a	11-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ATI	S	6,200	29.69	n/a	11-Dec	non-brg	1.0
FRED ALGER MGMT	035	AVGO	S	100,000	31.05	n/a	n/a	3,600.00	0.0
SANDLER O'NEILL ASSET	031	AXP	B	20,000	56.36	n/a	20-Dec	1,000.00	5.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	11.50	n/a	20-Dec	2,500.00	5.0
M&I FUNDS	047	CHKP	B	18,239	47.24	n/a	n/a	729.56	4.0
B BUCK CAPITAL MGMT		CLD	S	50,000	19.04	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	COST	B	6,540	98.32	n/a	n/a	261.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CROX	B	65,000	13.53	n/a	n/a	non-brg	2.5
SIMMONS VENTURES	041	CROX	B	10,000	13.73	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		DECK	B	10,000	36.13	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DECK	B	150,000	37.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	150,000	37.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DKS	B	25,000	45.10	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		DKS	B	25,000	45.10	n/a	21-Dec	non-brg	4.0
MACELLUM CAPITAL	086	DSW	SS	23,200	63.76	n/a	11-Feb	696.00	3.0
TUDOR INVESTORS	028	EBAY	B	12,500	49.96	n/a	n/a	375.00	3.0
f BRIAN P CLIFFORD	FID	EPOC	B	3000	8.81	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	FCX	B	1000	33.46	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FINL	S	66,116	18.52	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	20,000	31.41	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	B	11,300	89.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	5,000	32.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	B	5,000	32.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	B	6,985	32.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIL	B	20,000	35.84	n/a	30-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GNC	B	20,000	32.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	B	20,000	30.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAIN	S	35,145	53.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		IWF	C	60,000	65.08	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWF	C	80,000	65.00	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWO	C	40,000	94.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	80,000	94.15	n/a	n/a	non-brg	2.0
SYMPHONY ASSET	033	JCP	SS	15,570	19.49	n/a	12-Nov	467.10	0.0
SYMPHONY ASSET	033	JOSB	C	14,520	42.03	n/a	n/a	435.60	0.0
f EDWARD W WHEELER	FID	KEM	S	5000	4.87	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		KORS	B	20,000	47.72	n/a	14-Nov	non-brg	2.5
ß BUCK CAPITAL MGMT		KORS	B	20,000	48.10	n/a	14-Nov	non-brg	2.5
ß BUCK CAPITAL MGMT		KORS	B	20,000	48.26	n/a	14-Nov	non-brg	2.5
ß BUCK CAPITAL MGMT		KSS	SS	20,000	42.42	n/a	30-Nov	non-brg	4.0
HARVEST MGMT (JMP)	029	KSS	SS	7,200	42.27	n/a	30-Nov	288.00	4.0
f MARC PAUL LUCHANSKY	FID	LUV	S	500	10.19	n/a	17-Dec	0.00	0.0
METROPOLITAN CAPITAL	044	LVS	S	18,500	45.17	n/a	13-Jun	925.00	0.0
FRED ALGER MGMT	035	MDVN	S	20,000	50.68	n/a	n/a	720.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	035	MRC	S	20,000	27.21	n/a	n/a	720.00	0.0
BASSWOOD PARTNERS	267	MS	S	39,400	18.52	n/a	20-Dec	1,576.00	0.0
ß BUCK CAPITAL MGMT		MVRX	SS	19,300	238.47	n/a	n/a	non-brg	19.1
ß BUCK CAPITAL MGMT		MVRX	SS	19,300	238.47	n/a	n/a	non-brg	19.1
ß BUCK CAPITAL MGMT		MVRX	SS	700	238.55	n/a	n/a	non-brg	19.1
ß BUCK CAPITAL MGMT		MVRX	SS	700	238.55	n/a	n/a	non-brg	19.1
f MARK ANTHONY GRONET	FID	MWO	S	3000	24.59	n/a	n/a	0.00	0.0
f BRIAN PATRICK O'GORM	FID	PBCT	S	25	11.96	n/a	26-Nov	0.00	0.0
f KATHERINE L O'GORMAN	FID	PBCT	S	1000	11.95	n/a	26-Nov	0.00	0.0
ROARING BLUE LION MGMT	031	PLCE	B	22,300	43.43	n/a	27-Nov	892.00	4.0
ß BUCK CAPITAL MGMT		RL	SS	10,000	147.25	n/a	5-Nov	non-brg	4.0
f EDWARD W WHEELER	FID	R	B	50	12.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHLD	S	50,000	39.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SHLD	S	70,000	38.99	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	SI	S	1000	109.21	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SKS	C	30,000	10.03	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SKS	C	50,000	9.99	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SSI	B	50,000	23.67	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANTHONY SUTERA	FID	SWN	B	500	32.68	n/a	20-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		TEVA	B	14,000	36.86	n/a	26-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	B	24,400	41.08	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	B	70,000	41.23	n/a	21-Dec	non-brg	4.0
FRED ALGER MGMT	035	TRW	S	51,570	52.41	n/a	n/a	1,856.52	0.0
SYMPHONY ASSET	033	UA	SS	6,870	47.54	n/a	26-Oct	206.10	0.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	38.05	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	38.47	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		XLY	SS	85,000	46.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	SS	65,000	61.10	n/a	n/a	non-brg	1.0
HARVEST MGMT (JMP)	029	XRT	B	5,000	60.57	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	18.61	n/a	n/a	375.00	3.0
f ANTHONY SUTERA	FID		B	15000	73.10	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	25000	107.65	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							24,012.98		

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) :									24,012.98
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									24,012.98

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	12/26	BUCK CAPITAL MGMT	MVRX	SS	700	240.95	n/a	n/a	134.93	19.3
CRT	12/26	BUCK CAPITAL MGMT	MVRX	SS	20,000	241.21	n/a	n/a	3859.34	19.3
CRT	12/26	BUCK CAPITAL MGMT	MVRX	SS	20,000	241.21	n/a	n/a	3859.34	19.3
CRT	12/26	BUCK CAPITAL MGMT	MVRX	SS	700	240.95	n/a	n/a	134.93	19.3
CXL	12/26	BUCK CAPITAL MGMT.	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00	
CRT	12/21	BUCK CAPITAL MGMT	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00	0.0
CXL	12/26	BUCK CAPITAL MGMT.	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00	
CRT	12/21	BUCK CAPITAL MGMT	SQBG-P	B	1,333,333	4.50	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 27-Dec.

NONE

MRI Securities without Trade Activity on 27-Dec.

BKW

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)