



Daily Compliance Activity Report

Trade Date: 02/03/2012

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	S	5,000	50.26	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	ABT	B	500	55.01	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	ACW	S	7,000	7.82	n/a	n/a	210.00	3.0
f IAN L MILLER	FID	ANF	B	25	40.85	n/a	3-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		ANN	S	35,000	22.72	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ANN	S	35,000	22.72	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ANN	S	35,000	22.76	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ANN	S	35,000	22.76	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ANN	S	50,000	22.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ANN	S	50,000	23.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ANN	S	97,718	22.95	n/a	n/a	non-brg	0.8
KAYNE ANDERSON ADV	084	ANSS	B	10,000	63.95	n/a	n/a	400.00	4.0
ROARING BLUE LION MGMT	031	AN	B	25,200	37.09	n/a	27-Jan	1,008.00	4.0
f MICHAEL ALEXANDER SM	FID	BGU	S	500	75.36	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BODY	S	9,752	25.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BONT	B	50,000	4.78	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BWLD	SS	10,000	70.56	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		BYD	S	25,000	9.61	n/a	n/a	non-brg	3.0
KAYNE ANDERSON ADV	084	CCMP	B	8,300	52.63	n/a	n/a	332.00	4.0
ROARING BLUE LION MGMT	031	CROX	S	15,200	20.37	n/a	n/a	608.00	4.0
f ANTHONY NG	FID	CSCO	S	245	20.14	n/a	n/a	0.00	0.0
OHIO PERS	047	CTCT	S	88,053	29.22	n/a	n/a	2,641.59	3.0
f DAVID GEORGE BUCK	FID	C	B	1010	11.63	n/a	1-Feb	0.00	0.0
f MARC PAUL LUCHANSKY	FID	C	B	500	33.17	n/a	1-Feb	0.00	0.0
⚡ BUCK CAPITAL MGMT		DAL	S	25,000	11.41	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	42.44	n/a	12-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	20,000	42.35	n/a	12-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	55,000	42.35	n/a	12-Jan	non-brg	4.0
BNP PARIBAS SEC	040	DLTR	B	10,000	85.61	n/a	27-Jan	500.00	5.0
⚡ BUCK CAPITAL MGMT		EL	S	42,500	57.12	3-Feb	3-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EL	S	42,500	57.12	3-Feb	3-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EL	S	43,360	56.52	3-Feb	3-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EL	S	43,362	56.52	3-Feb	3-Feb	non-brg	4.0
TALPION LLC	040	EL	S	10,000	54.79	3-Feb	3-Feb	400.00	4.0
ROYCE TRADING	031	EXAR	B	30,000	6.89	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		EXPR	B	25,000	21.83	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	EXP	SS	12,600	31.95	n/a	n/a	630.00	5.0
CAERUS GLOBAL	041	FDO	B	4,044	57.67	n/a	9-Jan	161.76	4.0
SMITH MGMT LLC	029	FINL	B	150,000	22.15	n/a	20-Jan	4,500.00	3.0
FARALLON CAP MGMT	040	FIS	S	25,000	29.23	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		FOSL	SS	10,000	100.55	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	FSDPX	S	73	70.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	B	10,000	23.84	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIII	B	10,000	23.84	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	GIS	S	2000	40.39	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GM	C	50,000	25.98	n/a	2-Feb	2,500.00	5.0
HOPLITE MGMT	025	GM	B	79,023	25.83	n/a	2-Feb	3,160.92	4.0
OZ MGMT	040	GM	C	28,920	25.22	n/a	2-Feb	867.60	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	48,825	25.74	n/a	2-Feb	1,953.00	4.0
MASTERS CAPITAL MANAGE	025	GNW	S	50,000	9.23	n/a	n/a	2,000.00	4.0
ROYCE TRADING	031	HXL	S	500	26.39	n/a	30-Jan	25.00	5.0
f DAVID GEORGE BUCK	FID	IWM	S	1500	82.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JCP	SS	100,000	41.05	n/a	27-Jan	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		JCP	SS	20,000	41.14	n/a	27-Jan	non-brg	4.0
	THE JAY GOLDMAN	028	JCP	B	30,000	41.61	n/a	27-Jan	1,200.00	4.0
	SANDLER CAPITAL	028	JOSB	B	180,000	49.05	n/a	n/a	7,200.00	4.0
ß	BUCK CAPITAL MGMT		JWN	SS	10,000	50.14	n/a	3-Feb	non-brg	4.0
	DENVER INST. ADV	046	JWN	S	253,337	50.17	n/a	3-Feb	10,133.48	4.0
	ROYCE TRADING	031	KAMN	S	1,000	33.42	n/a	n/a	50.00	5.0
ß	BUCK CAPITAL MGMT		KSS	B	100,000	48.63	n/a	3-Feb	non-brg	4.0
ß	BUCK CAPITAL MGMT		KSS	B	120,000	48.63	n/a	3-Feb	non-brg	4.0
ß	BUCK CAPITAL MGMT		KSS	B	44,100	48.26	n/a	3-Feb	non-brg	4.0
	THE JAY GOLDMAN	028	KSS	S	30,000	48.34	n/a	3-Feb	1,200.00	4.0
	ROYCE TRADING	031	KWR	S	300	47.41	n/a	n/a	15.00	5.0
	ROYCE TRADING	031	LAD	B	200	23.93	n/a	n/a	10.00	5.0
ß	BUCK CAPITAL MGMT		LEA	B	70,000	44.41	n/a	3-Feb	non-brg	4.0
	ROYCE TRADING	031	LHO	S	2,000	27.84	n/a	n/a	100.00	5.0
	CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	9.13	n/a	23-Jan	5,000.00	5.0
	SCOPUS FUND	041	LPX	B	42,500	9.21	n/a	23-Jan	1,700.00	4.0
	MACQUARIE INVESTMENT MGMT.	040	MGM	S	5,000	14.33	n/a	13-Jun	0.00	0.0
Õ	Nilsa Vazquez		MOS	S	300	56.95	n/a	n/a	0.00	0.0
f	REUBEN D DVORETSKY	FID	MO	S	93	28.87	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MPEL	S	50,000	11.98	n/a	13-Jun	non-brg	4.0
KAM ADVISORS LLC	041	MRO	B	61,700	32.19	n/a	n/a	1,851.00	3.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,027,847	104.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,107,847	104.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,027,847	104.10	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,107,847	104.10	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	202,000	104.24	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	393,000	104.24	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSRASH	C	150,000	107.02	n/a	n/a	non-brg	8.6
ß BUCK CAPITAL MGMT		MSMSRASH	C	197,943	108.04	n/a	n/a	non-brg	8.6
ß BUCK CAPITAL MGMT		MSMSRASH	C	384,972	108.04	n/a	n/a	non-brg	8.6
ß BUCK CAPITAL MGMT		MSMSRASH	C	468,703	107.61	n/a	n/a	non-brg	0.6
ß BUCK CAPITAL MGMT		MSMSRASH	C	75,000	107.02	n/a	n/a	non-brg	8.6
ß BUCK CAPITAL MGMT		MSMSRASH	SS	433,391	107.61	n/a	n/a	non-brg	0.0
ROYCE TRADING	031	MTH	B	7,000	27.38	n/a	n/a	350.00	5.0
ROYCE TRADING	031	MTX	B	4,800	68.78	n/a	n/a	240.00	5.0
SCOPUS FUND	041	M	B	25,000	36.33	n/a	3-Feb	1,000.00	4.0
ROYCE TRADING	031	NANO	S	1,000	20.80	n/a	n/a	50.00	5.0
ß BUCK CAPITAL MGMT		NKE	B	20,000	103.53	n/a	9-Jan	non-brg	4.0
f WILLIAM J GAULT	FID	NXJ	S	6400	14.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	OMG	S	2,000	29.84	n/a	n/a	100.00	5.0
OSKIE CAPITAL MGMT	224	ONE	SS	30,000	17.50	n/a	n/a	1,500.00	5.0
ROYCE TRADING	031	ORCC	B	2,000	2.85	n/a	n/a	60.00	3.0
CAERUS GLOBAL	041	PEP	B	9,091	66.70	n/a	n/a	363.64	4.0
BNP PARIBAS SEC	040	PLCE	SS	7,500	50.66	n/a	18-Jan	375.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	50.52	n/a	18-Jan	non-brg	4.0
⚡ RAVI SADARANGANI	FID	PRSCX	B	502	29.91	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		PSMT	B	20,000	66.30	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		RCL	S	25,000	30.56	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RL	SS	10,000	155.74	n/a	23-Jan	non-brg	4.0
⚡ PATRICK O'GRADY	FID	ROIAK	B	1300	1.06	n/a	n/a	0.00	0.0
KAYNE ANDERSON ADV	084	ROL	B	20,100	22.37	n/a	n/a	804.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ROST	S	25,400	51.71	n/a	3-Feb	1,016.00	4.0
ROYCE TRADING	031	RRGB	S	500	32.66	n/a	n/a	25.00	5.0
⚡ MICHAEL ALEXANDER SM	FID	RYVYX	S	71	147.58	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		R	B	18,000	52.62	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	SIMO	B	820	22.55	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SIMO	B	500	21.46	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SKX	SS	30,000	13.04	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	SKX	S	3,364	13.03	n/a	n/a	168.20	5.0
f DAVID GEORGE BUCK	FID	SPY	S	10	1.42	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	STT	B	10,000	42.27	n/a	1-Feb	500.00	5.0
TRUST CO OF THE WEST/NY	040	S	S	107,100	2.29	n/a	n/a	3,213.00	3.0
TRUST CO/COWEN/CALF.	040	S	S	1,368,150	2.29	n/a	n/a	41,044.50	3.0
f BARBARA S LEDDY	FID	TBT	B	300	19.25	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TBT	B	1000	19.22	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TGT	B	80,900	52.58	n/a	2-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		TIF	SS	10,000	65.56	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	B	10,000	34.53	3-Feb	3-Feb	non-brg	4.0
ROYCE TRADING	031	TKR	S	500	51.94	n/a	n/a	25.00	5.0
ß BUCK CAPITAL MGMT		TOL	S	15,000	23.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TPX	B	10,000	69.40	n/a	n/a	non-brg	4.0
M&I FUNDS	047	TYC	B	12,153	50.81	n/a	2-Feb	486.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL ALEXANDER SM	FID	URPIX	B	6466	4.64	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	UTSI	B	2000	1.26	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WAG	B	1000	33.62	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WNC	B	400	9.17	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	WNC	B	2500	9.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WYNN	SS	10,000	115.02	n/a	13-Jun	non-brg	4.0
VISIUM/BALY BOBBY	044	XLI	SS	20,000	37.20	n/a	n/a	1,000.00	5.0
ROYCE TRADING	031	ZIGO	S	500	17.00	n/a	n/a	25.00	5.0
f ANTHONY NG	FID	ZNGA	B	365	13.61	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ZOLT	B	200	2.24	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							105,352.81		

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) :									105,352.81
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									105,352.81

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/02	BUCK CAPITAL MGMT	GPS	C	50,000	21.28	n/a	n/a	2000.00 4.0

MRI Securities with Trade Activity on 3-Feb.

EL, TJX

MRI Securities without Trade Activity on 3-Feb.

CBT, PNRA, PG

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)