



Daily Compliance Activity Report

Trade Date: 01/07/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1023 HK	S	837,000	0.61	n/a	n/a	non-brg	0.1
BUCK CAPITAL MGMT		AAPL	S	25,000	525.14	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	50,000	20.27	n/a	2-Dec	non-brg	4.0
DAVID GEORGE BUCK	FID	AMZN	S	5	4.43	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	CHS	B	15,000	18.46	n/a	5-Feb	525.00	3.5
BRIGADE CAPITAL MGMT	029	CYH	B	170,000	32.38	n/a	n/a	5,100.00	0.0
BUCK CAPITAL MGMT		DAL	S	34,000	13.24	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT		DECK	S	50,000	38.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DECK	S	9,322	38.70	n/a	n/a	non-brg	4.0
CAPITAL GROWTH MGMT.	241	DHI	S	200,000	20.68	n/a	n/a	10,000.00	5.0
CR INTRINIC INVESTMENT	044	DKS	B	10,000	48.00	n/a	21-Dec	350.00	3.5
BUCK CAPITAL MGMT		EXPR	B	90,000	14.99	n/a	n/a	non-brg	4.0
THOMAS MACTAGGART LE	FID	FBC	B	200	19.21	n/a	n/a	0.00	0.0
BERYLSON CAPITAL	030	FINL	B	100,000	17.38	n/a	4-Jan	3,000.00	3.0
COOPER CREEK PART	028	FINL	B	20,000	17.52	n/a	4-Jan	800.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	IAN L MILLER	FID	FINL	B	100	17.49	n/a	4-Jan	0.00	0.0
	COLUMBUS CIRCLE	036	FIO	S	28,725	21.47	n/a	n/a	1,149.00	0.0
	CR INTRINIC INVESTMENT	044	FL	SS	13,900	32.97	n/a	21-Dec	486.50	3.5
	VISIUM/BALY BOBBY	044	F	B	35,000	13.42	n/a	7-Jan	1,750.00	0.0
	SYMPHONY ASSET	033	GE	B	14,080	21.06	n/a	n/a	422.40	0.0
	MASTERS CAPITAL MANAGE	025	GLW	S	100,000	12.68	n/a	27-Nov	4,000.00	4.0
	OZ MGMT	040	GM	S	21,803	29.84	n/a	7-Jan	654.09	0.0
	LISTED ERR	099	GM	B	113	29.64	n/a	7-Jan	0.00	0.0
f	DAVID GEORGE BUCK	FID	HCA	B	1000	32.08	n/a	n/a	0.00	0.0
	ADAGE CAPITAL MGMT	030	JCI	B	8,117	31.49	n/a	20-Dec	243.51	3.0
	CORNERSTONE	030	JCI	S	99,994	31.67	n/a	20-Dec	2,999.82	0.0
	OZ MGMT	040	JCP	SS	25,482	19.88	n/a	2-Jan	764.46	0.0
	CASTLEROCK	040	KORS	B	3,750	51.75	n/a	14-Nov	150.00	0.0
B	BUCK CAPITAL MGMT		KSS	S	104,073	41.95	n/a	4-Jan	non-brg	4.0
	COLUMBUS CIRCLE	036	LPX	S	8,300	20.24	n/a	4-Jan	332.00	0.0
	LOMAS CAPITAL	040	LVS	B	17,400	51.35	n/a	13-Jun	522.00	3.0
f	MARK MEGALLI	FID	MHGC	B	10000	5.98	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	M	B	25,000	37.66	n/a	4-Jan	875.00	3.5
RAINIER INV MGMT	035	OII	B	21,500	56.98	n/a	n/a	860.00	0.0
Ⓕ BUCK CAPITAL MGMT		PERY	S	24,700	19.64	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	10,000	45.94	n/a	27-Nov	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	24,146	45.61	n/a	27-Nov	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PVH	S	10,000	117.10	n/a	19-Dec	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PVH	S	10,000	117.13	n/a	19-Dec	non-brg	4.0
f JENNIFER CORWIN GLIC	FID	RHP	S	592	39.78	n/a	n/a	0.00	0.0
SAC CAPITAL/M GRONET	030	ROST	B	20,000	57.49	n/a	4-Jan	700.00	3.5
f JASON ERIC COHEN	FID	SPY	B	5	0.92	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		TIF	S	25,059	60.34	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		TSCO	S	20,000	90.34	n/a	n/a	non-brg	4.0
WADDELL AND REED	047	UNH	B	43,500	52.02	n/a	n/a	1,740.00	0.0
Ⓕ BUCK CAPITAL MGMT		URBN	S	30,000	40.96	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		V	S	5,000	157.60	n/a	20-Dec	non-brg	4.0
f DAVID GEORGE BUCK	FID	WFM	S	1000	88.23	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	XLU	SS	15,000	35.40	n/a	n/a	300.00	2.0
TOTAL (Trade Date):							37,723.78		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/04	FARALLON CAP MGMT	040	CHKP	S	80,000	46.76	n/a	n/a	2400.00 3.0
AO,CXL	01/04	FARALLON CAP MGMT	040	CHKP	S	80,000	46.76	n/a	n/a	3200.00 4.0
AO,	01/04	RAINIER INV MGMT	035	OII	B	53,060	57.23	n/a	n/a	2122.40 0.0

TOTAL (AO, CXL, CRT) :**1,322.40**

TOTAL (Trade Date) :

37,723.78

TOTAL (AO, CXL, CRT) :

1,322.40

TOTAL (RUN DATE) / NFS:**39,046.18**

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 7-Jan.
NONE

MRI Securities without Trade Activity on 7-Jan.
PPG, LCC

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)