



Daily Compliance Activity Report

Trade Date: 01/04/2013

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	105,000	0.61	n/a	n/a	non-brg 0.1
BUCK CAPITAL MGMT		AAPL	S	5,000	528.63	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		AAPL	S	6,910	536.76	n/a	n/a	non-brg 1.0
LATEEF MGMT	035	AA	B	300	9.20	n/a	n/a	30.00 10.0
BUCK CAPITAL MGMT		ABG	S	1,464	34.42	n/a	4-Jan	non-brg 1.0
BUCK CAPITAL MGMT		ABG	S	68,258	34.30	n/a	4-Jan	non-brg 4.0
CHRISTY FRANK	FID	ALDW	B	650	22.66	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		ALV	S	48,345	67.13	4-Jan	4-Jan	non-brg 4.0
LONG OAR GLOBAL INV	040	ALV	SS	30,000	67.02	4-Jan	4-Jan	1,200.00 4.0
SCOPUS FUND	041	ALV	SS	25,000	67.13	4-Jan	4-Jan	1,000.00 0.0
KAREN F LEDDY	FID	APP	B	13000	1.12	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		ASNA	SS	50,000	18.11	n/a	n/a	non-brg 4.0
IAN L MILLER	FID	BAC	B	150	12.02	n/a	3-Jan	0.00 0.0
LATEEF MGMT	035	BDN	B	300	12.19	n/a	n/a	30.00 10.0
PRIMECAP MGMT	084	BIIB	S	3,000	147.50	n/a	n/a	120.00 0.0
SCOPUS FUND	041	BWA	SS	25,000	73.69	n/a	7-Nov	1,000.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BERYLSON CAPITAL	030	BWLD	SS	5,300	76.03	n/a	n/a	159.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	BWS	S	200	17.49	n/a	n/a	0.00	0.0
LATEEF MGMT	035	CBLPRD	B	600	25.20	n/a	n/a	60.00	10.0
LATEEF MGMT	035	CCK	S	225	38.35	n/a	n/a	40.50	18.0
FARALLON CAP MGMT	040	CHKP	S	80,000	46.76	n/a	n/a	3,200.00	4.0
f CHRISTOPHER ROBERT C	FID	COF	B	75	61.68	n/a	3-Jan	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	100,000	39.65	n/a	n/a	non-brg	4.0
f ALEXANDRA ELISE ZOLI	FID	DIS	B	80	51.83	n/a	n/a	0.00	0.0
BTG PACTUAL	040	DKS	S	10,000	47.01	n/a	21-Dec	300.00	3.0
B BUCK CAPITAL MGMT		EXPR	B	10,000	15.08	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		EXPR	B	50,000	15.10	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	FBC	B	400	19.22	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FBC	B	900	19.54	n/a	n/a	0.00	0.0
WELLSPRING CAPITAL	093	FINL	B	25,000	17.24	n/a	4-Jan	1,000.00	4.0
MACELLUM CAPITAL	086	FL	SS	40,000	32.98	n/a	21-Dec	1,200.00	3.0
f JONATHAN RICHARD HAR	FID	FNP	S	35	0.25	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIII	S	56,215	34.67	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GM	B	20,000	29.65	n/a	4-Jan	non-brg	4.0
CAERUS GLOBAL	041	GM	B	4,970	29.48	n/a	4-Jan	198.80	4.0
OZ MGMT	040	GM	S	43,365	29.68	n/a	4-Jan	1,300.95	0.0
PATRIOT STRATEGY PARTNERS	036	GM	S	7,500	29.71	n/a	4-Jan	300.00	4.0
PHILADELPHIA FINANCIAL	033	GM	B	42,202	29.47	n/a	4-Jan	1,688.08	0.0
LISTED ERR	099	GM	S	113	29.84	n/a	4-Jan	0.00	0.0
B BUCK CAPITAL MGMT		HBC CN	B	2,800	17.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBC CN	B	9,650	17.09	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	HLF	S	50	36.91	n/a	n/a	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	2,500	86.99	n/a	n/a	100.00	0.0
LATEEF MGMT	035	IP	S	200	40.68	n/a	18-Dec	40.00	20.0
TUDOR INVESTORS	028	IP	SS	5,000	40.23	n/a	18-Dec	150.00	3.0
B BUCK CAPITAL MGMT		JNY	SS	20,000	11.63	n/a	25-Oct	non-brg	4.0
f IAN L MILLER	FID	JPM	B	50	45.02	n/a	3-Jan	0.00	0.0
TROUBH PART	070	JPM	B	25,000	45.20	n/a	3-Jan	1,250.00	5.0
SAC CHICAGO ANDREW	031	JWN	B	124,709	54.88	4-Jan	4-Jan	4,364.82	3.5
MERRILL ASSET/BLACKROCK	297	KMPR	S	27,800	30.80	n/a	n/a	1,112.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	35,000	42.36	4-Jan	4-Jan	1,050.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	LAD	B	10,000	40.72	n/a	n/a	400.00	0.0
FIRST NY SEC/CHRIS	041	LCC	S	10,000	14.36	n/a	17-Dec	500.00	5.0
TUDOR INVESTORS	028	LECO	B	3,000	50.81	n/a	n/a	90.00	3.0
f DAVID GEORGE BUCK	FID	LGND	B	1000	19.48	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	LTD	B	55,000	45.00	n/a	n/a	2,750.00	0.0
B BUCK CAPITAL MGMT		LULU	SS	30,000	71.30	n/a	6-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		MDC	SS	12,000	37.75	n/a	n/a	non-brg	1.0
BNP PARIBAS SEC	040	MHK	SS	10,000	93.45	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		MS	S	100,000	20.14	n/a	20-Dec	non-brg	4.0
DELTEC ASSET MGMT.	040	M	B	12,500	38.20	4-Jan	4-Jan	625.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	50	97.42	n/a	n/a	0.00	0.0
SAGE ASSET MGMT	025	NOC	SS	15,800	68.68	n/a	11-Dec	790.00	5.0
B BUCK CAPITAL MGMT		PERY	S	20,000	20.14	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PHMD	B	1000	14.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	S	40,000	45.90	n/a	27-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT/KGLT	040	PTEN	S	25,000	19.43	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		PVH	S	10,000	115.48	n/a	19-Dec	non-brg	4.0
f YANAI A FRANK	FID	PXP	S	1635	47.29	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	QCOM	B	2000	63.85	n/a	n/a	0.00	0.0
LATEEF MGMT	035	RDSB	B	150	71.19	n/a	n/a	36.00	24.0
B BUCK CAPITAL MGMT		RGC	S	100,000	14.07	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	ROST	S	8,200	58.10	4-Jan	4-Jan	410.00	5.0
B BUCK CAPITAL MGMT		SKT	S	44,250	34.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKT	S	44,250	34.03	n/a	n/a	non-brg	4.0
CENTURION PARTNERS	041	SPLS	S	50,000	11.79	n/a	n/a	2,000.00	4.0
LATEEF MGMT	035	SPLS	B	250	11.86	n/a	n/a	27.50	11.0
f JASON ERIC COHEN	FID	STLY	B	600	4.50	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	SWN	S	8,600	33.90	n/a	4-Jan	430.00	0.0
DPB CAPITAL	029	S	S	5,000	5.80	n/a	n/a	250.00	5.0
SCOPUS FUND	041	TEN	SS	25,000	35.62	n/a	n/a	1,000.00	0.0
LATEEF MGMT	035	TEVA	B	125	38.05	n/a	4-Jan	30.00	24.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	041	TIF	S	15,000	61.17	n/a	n/a	600.00	4.0
J. GOLDMAN	028	TIF	SS	24,098	61.35	n/a	n/a	963.92	4.0
f EDWARD W WHEELER	FID	TITN	S	100	1.45	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	TJX	SS	100,000	44.52	4-Jan	4-Jan	3,500.00	3.5
LATEEF MGMT	035	TSN	S	300	20.34	n/a	n/a	30.00	10.0
B BUCK CAPITAL MGMT		URBN	S	30,000	41.57	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	URBN	S	25,000	41.48	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	VLTR	B	30,479	16.89	n/a	n/a	914.37	0.0
f DAVID GEORGE BUCK	FID	V	B	30	6.16	n/a	20-Dec	0.00	0.0
TUDOR INVESTORS	028	WNC	SS	5,000	9.84	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		WSM	C	44,917	46.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WSM	C	82,883	46.26	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID		B	50000	87.73	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								38,440.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/03	CATAPULT	040	AXL	B	30,739	12.00	n/a	4-Jan	1229.56 0.0
AO,CRT	01/03	CATAPULT CAP/DEFranco	040	AXL	B	30,739	12.00	n/a	4-Jan	1229.56 0.0
AO,CXL	01/03	CATAPULT	040	GM	B	28,886	29.79	n/a	4-Jan	1155.44 0.0
AO,CXL	01/03	CATAPULT	040	GM	SS	14,400	29.68	n/a	4-Jan	576.00 0.0
AO,CRT	01/03	CATAPULT CAP/DEFranco	040	GM	B	28,886	29.79	n/a	4-Jan	1155.44 0.0
AO,CRT	01/03	CATAPULT CAP/DEFranco	040	GM	SS	14,400	29.68	n/a	4-Jan	576.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	38,440.94
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	38,440.94
---------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 4-Jan.

ALV, JWN, KSS, M, ROST, TJX

MRI Securities without Trade Activity on 4-Jan.

FDO, DAL, AVY, ENDP

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)