



Daily Compliance Activity Report

Trade Date: 04/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	S	5	6.42	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	400	19.20	n/a	2-Dec	non-brg	1.0
LATEEF MGMT	033	ALL	S	300	49.54	n/a	n/a	45.00	15.0
B BUCK CAPITAL MGMT		ANF	S	100	48.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ANN	C	100	29.08	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	ANN	SS	50,000	29.06	n/a	n/a	1,500.00	3.0
KLEINHEINZ CAP PART	031	AN	B	75,000	42.30	n/a	19-Mar	3,750.00	5.0
B BUCK CAPITAL MGMT		APC	S	100	85.62	n/a	8-Apr	non-brg	1.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	30,000	15.07		n/a	n/a	900.00 3.0
B BUCK CAPITAL MGMT		ARO	C	200	13.34	n/a	n/a	non-brg	1.0
COLUMBUS CIRCLE	036	ARUN	B	8,600	22.73	n/a	n/a	344.00	0.0
B BUCK CAPITAL MGMT		AXP	S	200	65.45	n/a	4-Apr	non-brg	1.0
f DOUGLAS ROGERS	FID	BACPRD	B	779	25.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BHI	S	200	44.86	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BID	C	200	34.58	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	BONT	B	10,000	13.32	n/a	8-Apr	400.00	4.0
PROVIDENCE EQUITY CAP. MKTS.	040	BONT	S	14,004	13.35	n/a	8-Apr	420.12	3.0
B BUCK CAPITAL MGMT		CERN	C	100	92.46	n/a	n/a	non-brg	1.0
f LEE F BACKUS	FID	CGI	S	2000	18.29	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	CHS	S	15,000	17.77	n/a	5-Feb	600.00	4.0
B BUCK CAPITAL MGMT		CNC	S	300	42.23	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COF	S	100	54.85	n/a	4-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		COH	SS	10,100	49.57	n/a	27-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		COH	SS	20,000	49.94	n/a	27-Feb	non-brg	4.0
CYRUS CAPITAL	025	COH	S	66,000	49.75	n/a	27-Feb	1,980.00	3.0
B BUCK CAPITAL MGMT		CPB	SS	70,000	45.07	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	CRI	C	17,516	59.00	n/a	n/a	875.80	0.0
S.A.C. CAPITAL	044	CSX	SS	50,000	23.85	n/a	n/a	1,500.00	3.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	14.36	n/a	n/a	400.00	3.7
LATEEF MGMT	033	CVS	S	300	55.93	n/a	n/a	45.00	15.0
SEVEN LOCKS CAPITAL	025	CWH	S	100,000	22.09	n/a	n/a	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.50	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DAL	S	450	14.82	n/a	8-Apr	45.00	10.0
⌘ BUCK CAPITAL MGMT		DECK	B	50,000	56.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DFS	S	300	43.25	n/a	4-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	S	200	50.17	n/a	26-Mar	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DHI	S	200	23.24	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIA	C	400	145.05	n/a	n/a	non-brg	1.0
AELTUS/ING INVESTMENT MGT	215	DIS	B	244,748	58.64	n/a	n/a	7,342.44	0.0
⌘ BUCK CAPITAL MGMT		DKS	S	100	46.52	n/a	3-Apr	non-brg	1.0
FORTRESS INVESTMENT (US)	036	DLPH	B	71,000	42.47	n/a	n/a	2,840.00	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	B	10,000	10.56	n/a	n/a	400.00	4.0
LATEEF MGMT	033	DRE	S	550	17.35	n/a	n/a	55.00	10.0
⌘ BUCK CAPITAL MGMT		DVN	S	200	54.15	n/a	8-Apr	non-brg	1.0
MERRILL ASSET/BLACKROCK	297	EDD	B	12,000	16.71	n/a	n/a	480.00	0.0
⌘ BUCK CAPITAL MGMT		ENR	SS	20,000	95.98	n/a	28-Mar	non-brg	4.0
S.A.C. CAPITAL	044	EWG	B	20,000	24.40	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FDO	S	200	58.91	n/a	8-Apr	non-brg	1.0
DAVID GEORGE BUCK	FID	FFRHX	B	5005	9.99	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FINL	S	600	19.08	n/a	3-Apr	non-brg	1.0
BUCK CAPITAL MGMT		FL	S	400	33.33	n/a	3-Apr	non-brg	1.0
BUCK CAPITAL MGMT		FOR	S	200	21.12	n/a	26-Mar	non-brg	1.0
BUCK CAPITAL MGMT		FRAN	S	300	28.35	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GES	SS	30,000	25.26	n/a	21-Mar	non-brg	4.0
S.A.C. CAPITAL	044	GE	SS	20,000	22.95	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		GIII	S	16,362	39.54	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIII	S	200	38.68	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIII	S	7,000	39.30	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	GIS	S	225	48.44	n/a	n/a	45.00	20.0
BUCK CAPITAL MGMT		GM	S	600	27.55	n/a	8-Apr	non-brg	1.0
ROSEDALE CAPITAL	046	GM	B	10,000	27.52	n/a	8-Apr	500.00	5.0
BUCK CAPITAL MGMT		HAL	S	200	38.41	n/a	n/a	non-brg	1.0
MERRILL ASSET/BLACKROCK	297	HBHC	S	32,900	29.58	n/a	n/a	1,316.00	0.0
BUCK CAPITAL MGMT		HTZ	S	100	22.73	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		IJH	C	300	112.19	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWO	C	1,200	104.06	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JBLU	S	1,000	6.58	n/a	8-Apr	non-brg	1.0
BUCK CAPITAL MGMT		JCI	S	200	33.07	n/a	27-Mar	non-brg	1.0
LATEEF MGMT	033	JCI	B	500	33.06	n/a	27-Mar	50.00	10.0
BUCK CAPITAL MGMT		JIVE	S	700	14.39	n/a	n/a	non-brg	1.0
MARK MEGALLI	FID	JOEZ	S	5000	1.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JPM	S	100	47.90	n/a	5-Apr	non-brg	1.0
BUCK CAPITAL MGMT		KMT	S	300	37.88	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KNX	S	400	15.50	n/a	n/a	non-brg	1.0
LBP ENTERPRISES INC	FID	KRFT	S	1000	51.59	n/a	n/a	0.00	0.0
LEE F BACKUS	FID	KRFT	S	1000	51.62	n/a	n/a	0.00	0.0
SNEJANA P GARFUNKEL	FID	KRFT	S	1000	51.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		KSS	SS	10,500	47.75	n/a	8-Apr	non-brg	4.0
BUCK CAPITAL MGMT		LEA	S	200	52.13	n/a	3-Apr	non-brg	1.0
WOOSTER CAPITAL	044	LEA	B	15,000	52.34	n/a	3-Apr	600.00	4.0
BUCK CAPITAL MGMT		LEG	SS	15,000	32.72	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LEN	S	100	39.53	n/a	n/a	non-brg	1.0
KEYGROUP/KGLT	040	LNG	S	24,000	26.86	n/a	n/a	960.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	25,000	38.77	n/a	n/a	750.00	3.0
FRED ALGER MGMT	070	LRCX	S	13,600	40.40	n/a	n/a	489.60	0.0
B BUCK CAPITAL MGMT		LULU	B	10,000	64.86	n/a	4-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		LULU	B	40,000	64.89	n/a	4-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		MDT	S	100	46.23	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MDY	C	100	204.54	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MTOR	S	2,000	4.42	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	36.36	n/a	26-Mar	200.00	4.0
B BUCK CAPITAL MGMT		M	S	300	44.05	n/a	8-Apr	non-brg	1.0
J. GOLDMAN	028	M	SS	10,000	44.01	n/a	8-Apr	400.00	4.0
B BUCK CAPITAL MGMT		NCLH	B	50,000	29.60	n/a	n/a	non-brg	2.5
LEVIN CAPITAL STRATEGIES	041	NE	B	24,000	37.50	n/a	n/a	720.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	5.96	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		NILE	C	27,600	33.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	NRG	B	5,000	26.34		n/a	n/a	150.00	3.0
LEVIN CAPITAL STRATEGIES	041	OIH	SS	23,627	41.85	n/a	n/a	708.81	0.0	
LATEEF MGMT	033	OI	B	150	25.34	n/a	n/a	30.00	20.0	
FRED ALGER MGMT	070	OPEN	S	65,890	63.06	n/a	n/a	2,372.04	0.0	
B	BUCK CAPITAL MGMT	PETM	C	100	63.37	n/a	n/a	non-brg	1.0	
B	BUCK CAPITAL MGMT	PFE	S	800	28.99	n/a	n/a	non-brg	1.0	
MAIRS AND POWER INV	030	PFGB	B	9,000	33.60	n/a	n/a	450.00	5.0	
LATEEF MGMT	033	PG	S	500	78.70	n/a	1-Apr	90.00	22.5	
B	BUCK CAPITAL MGMT	PIR	C	20,000	22.12	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	PIR	C	21,900	22.24	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	PLCE	C	33,700	48.47	n/a	26-Mar	non-brg	4.0	
ASCEND PARTNERS	033	PVH	B	21,111	107.30	n/a	1-Apr	633.33	0.0	
B	BUCK CAPITAL MGMT	PVH	B	20,000	108.06	n/a	1-Apr	non-brg	4.0	
FRED ALGER MGMT	070	PXD	B	13,200	120.13	n/a	8-Apr	475.20	0.0	
LEVIN CAPITAL STRATEGIES	041	QCOM	SS	15,000	65.33	n/a	n/a	450.00	0.0	
B	BUCK CAPITAL MGMT	RDN	S	1,100	10.49	n/a	n/a	non-brg	1.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		R	S	300	58.16	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SCSS	S	200	18.49	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SLB	S	100	74.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SLM	S	500	19.74	n/a	4-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		SLXP	C	200	49.65	n/a	8-Apr	non-brg	1.0
FRED ALGER MGMT	070	SPLK	S	7,000	39.91	n/a	n/a	252.00	0.0
ß BUCK CAPITAL MGMT		SPY	C	100	155.18	n/a	n/a	non-brg	1.0
HOLLIS CAPITAL	033	SSI	B	3,000	27.12	n/a	8-Apr	150.00	5.0
ß BUCK CAPITAL MGMT		STT	S	300	57.29	n/a	5-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		SWFT	S	700	13.23	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SWN	S	400	37.61	n/a	8-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		TDG	C	100	149.45	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TEVA	S	300	39.03	n/a	8-Apr	non-brg	1.0
f DAVID GEORGE BUCK	FID	TFCIX	B	9050	11.05	n/a	n/a	0.00	0.0
LATEEF MGMT	033	TGT	S	100	69.07	n/a	13-Mar	30.00	30.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TITN	S	500	26.04	n/a	n/a	non-brg	1.0
BRONSON POINT	036	TLT	C	50,000	121.91	n/a	n/a	1,500.00	0.0
f KEVIN MICHAEL O'GORM	FID	TLT	B	10	1.79	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	TSCO	B	10,000	107.78	n/a	n/a	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC		S	5,000	26.20	n/a	n/a	150.00 3.0
⚡ BUCK CAPITAL MGMT		ULTA	S	100	84.20	n/a	n/a	non-brg	1.0
f IAN L MILLER	FID	UNG	S	50	22.43	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	UPL	S	50	20.56	n/a	8-Apr	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	B	20,000	40.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	B	55,000	40.51	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URI	S	200	52.78	n/a	17-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		V	S	100	164.92	n/a	20-Mar	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WERN	S	100	23.54	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	WHR	B	26,000	114.23	n/a	n/a	1,040.00	0.0
⚡ BUCK CAPITAL MGMT		WMT	C	30,000	76.87	n/a	22-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WNC	S	1,500	9.39	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		XLFX	C	300	18.02	n/a	n/a	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	25,000	88.74	n/a	n/a	750.00	0.0
⚡ BUCK CAPITAL MGMT		XPO	S	300	16.03	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	C	300	70.20	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	070	YELP	S	20,100	25.53	n/a	n/a	723.60	0.0
TOTAL (Trade Date):							45,707.94		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/05	NEWLAND CAPITAL MGT	025	ARC	S	22,389	2.86	n/a	n/a	447.78 2.0
AO,CXL	04/05	NEWLAND CAPITAL MGT	025	ARC	S	22,389	2.86	n/a	n/a	671.67 3.0
AO,CRT	04/05	SAGE ASSET MGMT	025	RT	SS	33,200	7.70	n/a	n/a	1328.00 4.0
AO,CXL	04/05	SAGE ASSET MGMT	025	RT	SS	33,200	7.70	n/a	n/a	1660.00 5.0
AO,CRT	04/05	MARCATO CAPITAL MGMT.	029	VXX	B	500,000	21.10	n/a	n/a	15000.00 3.0
AO,CXL	04/05	MARCATO CAPITAL MGMT.	029	VXX	B	500,000	21.10	n/a	n/a	20000.00 4.0
TOTAL (AO, CXL, CRT) :										-5,555.89
TOTAL (Trade Date) :										45,707.94
TOTAL (AO, CXL, CRT) :										-5,555.89
TOTAL (RUN DATE) / NFS:										40,152.05

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 8-Apr.
NONE

MRI Securities without Trade Activity on 8-Apr.
ACT, STZ, YUM

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)