



# Daily Compliance Activity Report

Trade Date: 02/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>AB</b>	<b>B</b>	<b>350</b>	<b>20.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ACW</b>	<b>B</b>	<b>2000</b>	<b>3.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>AVGO</b>	<b>B</b>	<b>565</b>	<b>35.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	AXP	B	12,000	60.64	n/a	6-Feb	480.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BA</b>	<b>B</b>	<b>3500</b>	<b>76.19</b>	<b>n/a</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>BBRY</b>	<b>B</b>	<b>10</b>	<b>0.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BCC</b>	<b>S</b>	<b>6,913</b>	<b>26.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
STANDARD PACIFIC CAPITAL	084	BCC	S	40,000	26.11	n/a	n/a	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>B</b>	<b>25,000</b>	<b>22.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CERN</b>	<b>SS</b>	<b>11,700</b>	<b>86.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CNC</b>	<b>B</b>	<b>15,000</b>	<b>44.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MACELLUM CAPITAL	086	CROX	B	141,000	15.07	n/a	n/a	4,230.00	3.0
RAINIER INV MGMT	033	CVS	B	36,400	51.41	n/a	n/a	1,456.00	0.0
RBC CAPITAL MARKETS	040	DVN	B	40,000	58.31	n/a	31-Jan	1,600.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DXJ</b>	<b>B</b>	<b>1000</b>	<b>41.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	DXJ	B	300	41.15	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	DXJ	B	400	41.11	n/a	n/a	0.00	0.0
	NOMURA/ANGEL LANE PRINCIPAL	040	EXPR	S	50,000	18.29	n/a	n/a	1,500.00	3.0
	PEAK INV/OAKMONT/CYPRESS	084	FAF	B	121,000	24.16	n/a	n/a	4,840.00	4.0
f	BARBARA S LEDDY	FID	FBC	B	500	15.52	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	FBC	B	700	15.47	n/a	n/a	0.00	0.0
	BRIGADE CAPITAL MGMT	029	FCH	B	50,000	5.39	n/a	n/a	1,500.00	0.0
	MACELLUM CAPITAL	086	FL	SS	122,000	34.57	n/a	6-Feb	3,660.00	3.0
	NOMURA/ANGEL LANE PRINCIPAL	040	GD	B	20,000	65.65	n/a	17-Jan	600.00	3.0
	S.A.C. CAPITAL	044	GD	B	25,000	66.13	n/a	17-Jan	750.00	3.0
	TROUBH PART	070	GE	S	25,000	22.36	n/a	n/a	1,250.00	5.0
B	BUCK CAPITAL MGMT		GIL	B	70,000	36.63	n/a	4-Feb	non-brg	4.0
f	JOSEPH CIRO AMATURO	FID	GLDD	S	5139	9.20	n/a	n/a	0.00	0.0
	CATAPULT CAP/DEFRANCO	040	GRA	B	17,044	74.63	n/a	n/a	681.76	0.0
	J. GOLDMAN	028	HBI	B	12,800	38.80	n/a	6-Feb	512.00	4.0
B	BUCK CAPITAL MGMT		HTZ	B	30,000	18.45	n/a	n/a	non-brg	4.0
	OHIO PERS	047	IP	S	12,500	42.57	n/a	5-Feb	375.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	IWM	S	150	90.29	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	IWM	S	400	90.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JBLU	B	85,000	5.85	n/a	4-Feb	non-brg	3.0
ROSEDALE CAPITAL	046	JBLU	B	35,000	5.79	n/a	4-Feb	1,050.00	3.0
ß BUCK CAPITAL MGMT		JCI	B	16,200	31.13	n/a	22-Jan	non-brg	4.0
S.A.C. CAPITAL	044	JCP	B	15,000	19.35	n/a	6-Feb	450.00	3.0
ß BUCK CAPITAL MGMT		JIVE	B	30,000	14.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JIVE	B	57,000	13.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JOY	B	8,000	63.09	n/a	11-Jul	non-brg	4.0
TIDE POINT CAPITAL	028	JOY	S	20,000	62.91	n/a	11-Jul	600.00	3.0
ß BUCK CAPITAL MGMT		KMT	B	12,000	40.65	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	KOG	B	60,000	9.24	n/a	n/a	2,400.00	4.0
ß BUCK CAPITAL MGMT		KSS	C	125,000	45.67	n/a	1-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	C	14,100	45.84	n/a	1-Feb	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	C	168,100	46.09	n/a	1-Feb	non-brg	4.0
SCOPUS FUND	041	LAD	S	3,300	43.61	n/a	n/a	132.00	0.0
BASSWOOD PARTNERS	267	LEA	B	13,200	50.56	n/a	4-Feb	528.00	0.0
BALYASNY ASSET MGMT	044	LOW	C	25,000	38.01	n/a	n/a	1,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	LTD	B	13,100	47.55	n/a	n/a	655.00	0.0
J. GOLDMAN	028	LTD	B	60,000	47.44	n/a	n/a	2,400.00	4.0
f DAVID GEORGE BUCK	FID	MCK	B	100	102.30	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MCK	B	400	102.33	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MCK	B	200	102.30	n/a	n/a	0.00	0.0
DISIPLINED GROWTH INV.	030	MIDD	B	4,300	147.16	n/a	n/a	215.00	0.0
ROXBURY CAPITAL MGMT	033	MLI	B	7,475	54.75	n/a	5-Feb	299.00	0.0
LOMAS CAPITAL	040	MPC	S	22,000	77.23	n/a	n/a	660.00	3.0
f DAVID GEORGE BUCK	FID	MPW	B	1500	13.46	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MPW	B	3000	13.48	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MPW	B	1000	13.50	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	52,900	23.40	n/a	4-Feb	2,645.00	0.0
WATERFRONT CAP	028	M	S	59,900	39.42	n/a	1-Feb	2,396.00	0.0
CORNERSTONE	030	NTAP	B	135,000	36.02	n/a	23-Jan	4,050.00	0.0
LEVIN CAPITAL STRATEGIES	041	NXY	B	31,873	26.68	n/a	n/a	956.19	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	OREX	B	132,992	6.01	n/a	n/a	2,659.84	0.0
B BUCK CAPITAL MGMT		PCLN	SS	1,309	699.41	n/a	n/a	non-brg	1.0
f JOSEPH CIRO AMATURO	FID	PER	B	2000	17.75	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	STEFFANIE CARMELA CA	FID	PER	B	300	17.33	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	PHMD	B	1500	14.99	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		PNRA	C	20,000	164.57	n/a	6-Feb	non-brg	4.0
	ASCEND PARTNERS	033	PVH	S	35,000	121.50	n/a	4-Feb	1,050.00	0.0
	DISCIPLINED GROWTH INV.	030	RCL	B	10,500	35.76	n/a	n/a	525.00	0.0
	SAC COHEN	044	RL	B	5,000	176.48	n/a	4-Feb	150.00	3.0
B	BUCK CAPITAL MGMT		ROST	B	20,000	58.90	n/a	1-Feb	non-brg	4.0
	S.A.C. CAPITAL	044	SBH	SS	20,000	26.78	n/a	n/a	600.00	3.0
B	BUCK CAPITAL MGMT		SCSS	B	50,000	22.51	n/a	n/a	non-brg	4.0
f	KAREN F LEDDY	FID	SGI	B	1500	15.03	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	SIMO	B	500	14.42	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SKX	S	30,000	18.83	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SLXP	SS	20,000	48.71	n/a	28-Jan	non-brg	4.0
f	FRANCIS MICHAEL MCCA	FID	SSI	B	400	23.85	n/a	1-Feb	0.00	0.0
	PATRIOT STRATEGY PARTNERS	036	SSI	B	5,000	23.82	n/a	1-Feb	200.00	4.0
f	JASON ERIC COHEN	FID	STLY	B	1000	4.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>TDG</b>	<b>C</b>	<b>14,400</b>	<b>139.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TDG</b>	<b>C</b>	<b>54,200</b>	<b>139.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LOCUST WOOD CAPITAL MGMT	044	TGT	B	21,300	62.07	n/a	6-Feb	852.00	4.0
SCOPUS FUND	041	TGT	SS	50,000	62.27	n/a	6-Feb	2,000.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	B	23,600	45.36	n/a	1-Feb	1,180.00	0.0
CENTURION PARTNERS	041	T	S	10,000	35.21	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>80,000</b>	<b>43.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GALT INVESTMENT	041	URBN	B	40,000	43.10	n/a	n/a	2,000.00	5.0
COUGAR TRADING	044	USG	B	5,000	28.73	n/a	6-Feb	250.00	5.0
COUGAR TRADING	044	USG	SS	5,000	28.93	n/a	6-Feb	250.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>30</b>	<b>6.95</b>	<b>n/a</b>	<b>16-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WBC</b>	<b>B</b>	<b>15,000</b>	<b>65.59</b>	<b>n/a</b>	<b>8-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	036	WCRX	B	400,000	14.48	n/a	5-Feb	12,000.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	WFM	B	20,000	93.79	n/a	n/a	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>B</b>	<b>27,000</b>	<b>10.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>C</b>	<b>150,000</b>	<b>50.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
LEVIN CAPITAL STRATEGIES	041	XRT	C	15,005	67.67	n/a	n/a	450.15	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		ZUMZ	B	20,000	21.74	n/a	n/a	non-brg 4.0
TOTAL (Trade Date):								71,287.94

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									71,287.94
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									71,287.94
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	02/05	BUCK CAPITAL MGMT	BCC	B	10,000	21.00	n/a	n/a	0.00	0.0
AO	02/05	BUCK CAPITAL MGMT	PCLN	SS	691	707.50	n/a	n/a	6.91	1.0

MRI Securities with Trade Activity on 6-Feb.  
NONE

MRI Securities without Trade Activity on 6-Feb.  
ETN, CHD, EL, TEVA

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)**