



Daily Compliance Activity Report

Trade Date: 02/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	AA	B	100	0.95	n/a	n/a	0.00	0.0
EVERGREEN	047	AEM	B	10,000	40.09	n/a	n/a	400.00	0.0
B BUCK CAPITAL MGMT		AEO	B	25,000	20.65	n/a	2-Dec	non-brg	1.0
f CHRISTY FRANK	FID	ALDW	S	1088	28.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	B	11,000	45.30	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	47.71	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		ANN	SS	35,000	27.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	SS	50,000	27.27	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	ARUN	SS	20,000	24.88	n/a	n/a	600.00	3.0
f JONATHAN RICHARD HAR	FID	AXL	B	200	12.20	n/a	21-Feb	0.00	0.0
LOMAS CAPITAL	040	AXL	B	54,000	12.27	n/a	21-Feb	1,620.00	3.0
B BUCK CAPITAL MGMT		BIG	SS	30,000	33.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	SS	50,000	33.36	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	BKS	B	1000	13.36	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	BKU	B	7,500	27.55	n/a	n/a	300.00	0.0
B BUCK CAPITAL MGMT		BLMN	B	30,000	17.25	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	BOH	B	12,700	48.99	n/a	n/a	508.00	0.0
NEUBERGER BERMAN	036	BOKF	B	6,792	59.40	n/a	n/a	271.68	0.0
BERYLSON CAPITAL	030	BONT	B	18,200	10.48	n/a	21-Feb	546.00	3.0
NEUBERGER BERMAN	036	BRKL	B	12,600	9.12	n/a	n/a	252.00	0.0
B BUCK CAPITAL MGMT		BYI	S	30,000	48.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR	B	190,000	23.33	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	CBK	S	1700	6.05	n/a	n/a	0.00	0.0
BRONSON POINT	036	CBS	B	25,000	43.20	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	CBU	B	8,100	28.87	n/a	n/a	324.00	0.0
HIGHBRIDGE CAP	041	CHRW	B	7,000	58.12	n/a	n/a	210.00	3.0
B BUCK CAPITAL MGMT		CHS	SS	100,000	16.72	n/a	5-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		CHS	SS	60,000	16.72	n/a	5-Feb	non-brg	4.0
BASSWOOD PARTNERS	267	COF	B	46,100	52.14	n/a	22-Feb	1,844.00	0.0
Õ Nilsa Vazquez		CRUS	S	400	25.59	n/a	n/a	0.00	0.0
LATEEF MGMT	033	CTB	S	500	25.19	n/a	n/a	50.00	10.0
f EDWARD W WHEELER	FID	CWEI	B	2000	38.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DAL 3 P14	S	1,000	0.73	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		DKS	S	50,000	48.85	n/a	20-Feb	non-brg	4.0
CASTLEROCK	040	DRI	B	24,219	46.11	n/a	22-Feb	968.76	4.0
OZ MGMT	040	DRI	S	50,000	46.13	n/a	22-Feb	1,500.00	0.0
EVERGREEN	047	DVN	B	4,300	54.88	n/a	21-Feb	172.00	0.0
f IAN L MILLER	FID	DVN	B	25	54.64	n/a	21-Feb	0.00	0.0
f GAVIN N CADWALLADER	FID	ETN	S	100	60.03	n/a	6-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		EXPR	S	50,000	18.08	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	FCX	B	2000	31.79	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FINL	S	124,600	18.36	n/a	20-Feb	non-brg	4.0
CAMBIAR CAP	046	FINL	B	117,296	18.41	n/a	20-Feb	4,691.84	0.0
BALYASNY ASSET MGMT	044	FRAN	S	25,000	24.26	n/a	n/a	1,250.00	0.0
⌘ BUCK CAPITAL MGMT		FRAN	B	30,000	24.80	n/a	n/a	non-brg	4.0
CASTLEROCK	040	F	B	41,693	12.41	n/a	21-Feb	1,667.72	4.0
⌘ BUCK CAPITAL MGMT		GCO	SS	25,031	60.89	n/a	n/a	non-brg	4.0
BRIGADE CAPITAL MGMT	029	GM	B	500,000	27.09	n/a	21-Feb	15,000.00	0.0
⌘ BUCK CAPITAL MGMT		GNC	S	30,000	40.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		GPS	S	40,000	31.91	n/a	n/a	non-brg	4.0
DECADE CAPITAL CHRIS C	041	GWR	B	2,874	86.77	n/a	n/a	114.96	0.0
J. GOLDMAN	028	HBI	B	22,500	38.69	n/a	6-Feb	900.00	4.0
⚡ BUCK CAPITAL MGMT		HD	C	123,400	65.39	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	HD	B	27,000	64.98	n/a	n/a	810.00	3.0
f SERGEI BARANOVSKY	FID	HPQ	S	107	0.27	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HTZ	B	155,000	18.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IBM	SS	1,200	198.33	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IBM	SS	600	198.35	n/a	n/a	non-brg	4.0
DECADE CAPITAL CHRIS C	041	IPI	B	15,385	19.55	n/a	n/a	615.40	0.0
OZ MGMT	040	IP	S	13,901	42.63	n/a	22-Feb	417.03	0.0
⚡ BUCK CAPITAL MGMT		JWN	SS	20,000	53.91	22-Feb	22-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JWN	SS	50,000	53.91	22-Feb	22-Feb	non-brg	4.0
LATEEF MGMT	033	KR	S	500	28.71	n/a	n/a	50.00	10.0
⚡ BUCK CAPITAL MGMT		KSS	SS	100,000	46.14	n/a	21-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	20,000	46.14	n/a	21-Feb	non-brg	4.0
NEUBERGER BERMAN	036	LDR	S	1,540	58.69	n/a	n/a	61.60	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	LEA	S	117,000	53.97	n/a	12-Feb	3,510.00	3.0
HIGHBRIDGE CAP	041	LPX	B	12,000	21.39	n/a	22-Feb	360.00	3.0
B BUCK CAPITAL MGMT		MCD	C	15,000	93.94	n/a	8-Feb	non-brg	4.0
GEORGE WEISS	278	MCD	S	36,600	94.93	n/a	8-Feb	1,464.00	0.0
DECADE CAPITAL CHRIS C	041	MLM	SS	5,300	97.99	n/a	n/a	212.00	0.0
f ABRAM M CHAPPELL	FID	MTG	B	1000	2.77	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	MTG	B	1000	2.77	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	MTW	B	40,500	18.72	n/a	11-Jul	1,215.00	3.0
LOMAS CAPITAL	040	MWV	B	19,000	35.03	n/a	19-Feb	570.00	3.0
B BUCK CAPITAL MGMT		NWY	S	6,101	4.34	n/a	n/a	non-brg	2.0
NEUBERGER BERMAN	036	OZRK	B	7,143	38.48	n/a	n/a	285.72	0.0
B BUCK CAPITAL MGMT		PETM	SS	50,000	63.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	SS	12,500	48.04	n/a	10-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	SS	27,500	48.04	n/a	10-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		RH	S	20,000	36.73	n/a	n/a	non-brg	1.0
DELTEC ASSET MGMT.	040	RKT	S	26,775	86.35	n/a	22-Feb	1,338.75	5.0
LISTED ERR	099	RKT	B	75	86.00	n/a	22-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	RKT	S	75	86.35	n/a	22-Feb	0.00	0.0
f YANAI A FRANK	FID	RNF	B	525	38.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ROST	S	129,800	57.73	n/a	21-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		ROST	S	50,000	57.18	n/a	21-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		RUSHA	S	20,000	23.76	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		SIG	SS	78,961	59.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	30,000	20.46	n/a	n/a	non-brg	4.0
DECADE CAPITAL CHRIS C	041	SWC	B	5,152	12.88	n/a	n/a	206.08	0.0
DECADE CAPITAL CHRIS C	041	SYT	SS	3,152	84.27	n/a	n/a	126.08	0.0
NEW JERSEY DIV OF INV.	030	TE	S	40,000	17.11	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		TGT	SS	100,000	63.35	n/a	7-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		TGT	SS	15,000	63.35	n/a	7-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	50,000	44.20	n/a	21-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	S	20,000	101.18	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	TTS	B	19,700	17.96	n/a	n/a	788.00	0.0
DENVER INST. ADV	046	TUMI	B	30,300	22.83	n/a	n/a	1,212.00	0.0
DECADE CAPITAL CHRIS C	041	TWI	S	10,000	25.42	n/a	n/a	400.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TYL	B	10,001	55.81	n/a	n/a	400.04	0.0
NEWLAND CAPITAL MGT	025	UFS	B	10,000	75.63	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		ULTA	S	20,000	88.66	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	ULTA	B	50	88.24	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	12,500	39.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	39.87	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	USG	S	34,886	27.62	n/a	6-Feb	1,046.58	3.0
DECADE CAPITAL CHRIS C	041	VMC	B	10,000	52.00	n/a	n/a	400.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	SS	3,988	87.77	n/a	n/a	159.52	0.0
ß BUCK CAPITAL MGMT		WMT	SS	100,000	70.30	n/a	22-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	SS	15,000	70.30	n/a	22-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	20,000	45.34	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	50,000	45.34	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	WSM	SS	20,000	45.38	n/a	n/a	600.00	3.0
LATEEF MGMT	033	XOM	S	250	88.55	n/a	n/a	45.00	18.0
ß BUCK CAPITAL MGMT		ZUMZ	S	20,000	22.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ZUMZ	S	20,000	22.63	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

53,733.76

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) :									53,733.76
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									53,733.76

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO	02/21	BUCK CAPITAL MGMT	FOR	B	20,000	17.07	n/a 15-Feb	800.00 4.0
AO	02/21	BUCK CAPITAL MGMT	KORS	B	8,400	59.59	n/a 21-Feb	336.00 4.0

MRI Securities with Trade Activity on 22-Feb.

JWN

MRI Securities without Trade Activity on 22-Feb.

COG, DAN

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)