



Daily Compliance Activity Report

Trade Date: 01/02/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	091	ADM	S	800	43.10	n/a	n/a	32.00	4.0
⚡ BUCK CAPITAL MGMT		ALK	SS	50	73.48	n/a	23-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AXL	B	310	20.14	n/a	23-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AXP	B	50	90.77	n/a	27-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BAC	B	470	15.92	n/a	18-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BBBY	SS	40	79.96	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BCC	B	250	29.15	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	BGC	B	400	28.75	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	BGC	B	5000	28.75	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BHI	B	60	54.84	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	BX	S	200	31.38	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CAR	B	230	40.13	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CERN	SS	50	55.19	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CHS	SS	20,000	19.73	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CNC	B	90	58.83	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		COF	B	90	77.46	n/a	30-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		COH	SS	10	56.51	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	300	CTRL	B	1,600	18.21	n/a	n/a	57.60	4.0
FRED ALGER MGMT	300	CVLT	B	1,200	74.08	n/a	n/a	43.20	4.0
FRED ALGER MGMT	300	CYT	B	900	91.95	n/a	n/a	32.40	4.0
BASSWOOD PARTNERS	267	C	B	35,218	51.94	n/a	19-Dec	1,408.72	4.0
⌘ BUCK CAPITAL MGMT		C	B	70	51.89	n/a	19-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DAL	B	20	27.85	3-Dec	23-Dec	non-brg	1.0
FRONTFOUR CAPITAL	046	DAN	SS	25,000	19.26	n/a	17-Dec	750.00	3.0
MATRIX ASSET ADV.	091	DD	B	500	64.04	n/a	n/a	20.00	4.0
⌘ BUCK CAPITAL MGMT		DFS	B	100	55.19	n/a	27-Dec	non-brg	1.0
FRED ALGER MGMT	300	DFT	B	3,400	24.24	n/a	n/a	122.40	4.0
⌘ BUCK CAPITAL MGMT		DGX	B	90	52.92	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DG	B	50	61.36	6-Dec	6-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DHI	B	250	21.87	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DKS	B	80	57.91	n/a	2-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	DSW	S	30,000	43.03	n/a	n/a	900.00	3.0
⚡ BUCK CAPITAL MGMT		ETN	B	60	75.64	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	EXPD	S	1,000	44.06	n/a	26-Dec	40.00	4.0
⚡ BUCK CAPITAL MGMT		EXPE	SS	70	69.28	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	FBIOX	S	755	182.48	n/a	n/a	0.00	0.0
f TIFFANY KANAGA	FID	FBIOX	B	22	182.48	n/a	n/a	0.00	0.0
SHEFFIELD ASSET MGMT	031	FDO	B	33,000	65.86	n/a	n/a	1,320.00	4.0
⚡ BUCK CAPITAL MGMT		FL	B	110	41.26	n/a	2-Jan	non-brg	1.0
f SCHWARZWALDE R FAMIL	FID	FMPXX	S	1200000	1.00	n/a	n/a	0.00	0.0
f SCHWARZWALDE R FAMIL	FID	FMPXX	S	2500000	1.00	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FNP	B	50	32.25	n/a	n/a	non-brg	1.0
f DANIEL R SCHWARZWALD	FID	FNSXX	S	800000	1.00	n/a	n/a	0.00	0.0
SCOPUS FUND	041	FOXA	B	25,000	35.66	n/a	n/a	1,000.00	4.0
f TIFFANY KANAGA	FID	FTEK	B	1350	7.30	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FTK	B	240	20.14	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		FWM	B	140	18.30	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		F	SS	120	15.32	n/a	2-Jan	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	F	SS	50,000	15.29	n/a	2-Jan	1,500.00	3.0
DAVID GEORGE BUCK	FID	GE	S	5000	27.56	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	GE	S	500	27.54	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GIII	B	20	71.22	5-Dec	10-Dec	non-brg	1.0
MANNY I KORMAN	FID	GILD	B	6000	75.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GM	B	230	40.55	n/a	31-Dec	non-brg	1.0
DELTEC ASSET MGMT.	040	GM	B	24,000	40.55	n/a	31-Dec	1,200.00	5.0
GAMCO ASSET MNGMT	025	GM	B	7,400	40.48	n/a	31-Dec	222.00	3.0
PCO CAPITAL MGMT.	084	GM	B	10,000	40.68	n/a	31-Dec	300.00	3.0
COLUMBUS CIRCLE	036	GPN	B	3,077	65.25	23-Dec[i]	26-Dec	123.08	4.0
BUCK CAPITAL MGMT		HAL	B	50	50.44	n/a	n/a	non-brg	1.0
MANNY I KORMAN	FID	HBI	S	7000	68.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		HCA	B	120	48.27	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HDS	B	260	23.56	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HD	B	20	82.10	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HOS	SS	30	48.71	n/a	n/a	non-brg	1.0
IRIDIAN ASSET MGMT.	036	HPQ	B	142,810	27.53	n/a	n/a	7,140.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		HTZ	B	320	28.34	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IP	B	70	48.96	n/a	20-Dec	non-brg	1.0
FRED ALGER MGMT	300	ISIL	B	5,300	11.01	n/a	n/a	190.80	4.0
FRED ALGER MGMT	300	ISIS	B	1,300	39.38	n/a	n/a	46.80	4.0
CHRISTOPHER ROBERT C	FID	IWM	S	50	113.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		IWO	SS	530	134.45	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JBLU	B	1,060	8.75	5-Dec	23-Dec	non-brg	1.0
WAGONHOUND/NICOLAS	033	JBLU	B	80,021	8.69	5-Dec	23-Dec	2,400.63	3.0
BUCK CAPITAL MGMT		JIVE	B	390	11.38	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	300	JLL	B	1,000	102.05	n/a	n/a	36.00	4.0
BUCK CAPITAL MGMT		JPM	B	80	58.09	n/a	17-Dec	non-brg	1.0
BUCK CAPITAL MGMT		KEG	B	350	8.00	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KMT	B	130	51.88	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KND	B	140	19.65	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KORS	B	60	82.33	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KSS	B	40	57.37	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRIGADE CAPITAL MGMT	029	LNG	S	50,000	43.24	n/a	n/a	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		LPNT	B	70	53.20	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		LPX	B	260	18.63	n/a	27-Dec	non-brg	1.0
BRIGADE CAPITAL MGMT	029	MGM	B	50,000	23.60	n/a	n/a	1,500.00	3.0
DAVIDSON KEMPNER ADVISOR	281	MNST	B	12,500	66.87	n/a	n/a	625.00	5.0
⚡ BUCK CAPITAL MGMT		MOH	B	160	35.35	n/a	n/a	non-brg	1.0
⚡ MANNY I KORMAN	FID	MOH	B	4000	36.13	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MS	B	220	31.11	n/a	11-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MWV	B	160	36.92	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		M	B	100	53.81	n/a	n/a	non-brg	1.0
ROSEDALE CAPITAL	046	NUAN	B	10,000	15.13	n/a	n/a	400.00	4.0
FRED ALGER MGMT	300	NXST	B	2,100	55.26	n/a	n/a	75.60	4.0
⚡ YANAI A FRANK	FID	ONNN	B	1250	7.95	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	OPEN	B	1,100	78.48	n/a	n/a	39.60	4.0
⚡ BUCK CAPITAL MGMT		OWW	B	440	7.14	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PCLN	SS	10	1146.18	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PETM	SS	80	72.65	n/a	n/a	non-brg	1.0
TYVOR CAPITAL LLC	031	PETM	B	30,000	72.28	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		PFE	B	290	30.56	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	PFE	S	5000	30.45	n/a	n/a	0.00	0.0
SCOPUS FUND	041	POT	B	10,000	33.13	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		PVH	B	40	137.12	11-Dec	20-Dec	non-brg	1.0
SHEFFIELD ASSET MGMT	031	PVH	B	20,500	136.67	11-Dec	20-Dec	820.00	4.0
B BUCK CAPITAL MGMT		RAD	B	1,590	5.08	n/a	n/a	non-brg	1.0
TYVOR CAPITAL LLC	031	RCII	B	18,171	33.41	n/a	n/a	545.13	3.0
B BUCK CAPITAL MGMT		RKT	B	20	105.12	n/a	20-Dec	non-brg	1.0
SHEFFIELD ASSET MGMT	031	RKT	B	39,000	104.78	n/a	20-Dec	1,560.00	4.0
SONICA CAPITAL LLC	025	RLGY	B	15,500	49.87	n/a	n/a	465.00	3.0
B BUCK CAPITAL MGMT		RL	B	10	175.92	n/a	12-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		R	B	70	72.93	n/a	19-Dec	non-brg	1.0
DAVIDSON KEMPNER ADVISOR	281	SAFM	SS	12,500	71.93	n/a	n/a	625.00	5.0
BADGE CAPITAL	030	SEAS	B	2,000	28.98	n/a	n/a	70.00	4.0
FRED ALGER MGMT	300	SIX	B	3,100	37.14	n/a	n/a	111.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SLM	B	60	26.09	n/a	9-Dec	non-brg	1.0
BUCK CAPITAL MGMT		SPN	B	250	26.45	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	300	SSS	B	1,200	64.72	n/a	n/a	43.20	4.0
BUCK CAPITAL MGMT		STT	B	100	73.16	n/a	11-Dec	non-brg	1.0
YANAI A FRANK	FID	SWKS	B	365	27.43	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	TMO	B	3,000	109.59	n/a	n/a	120.00	4.0
COLUMBUS CIRCLE	036	TSRO	S	4,715	27.45	n/a	n/a	188.60	4.0
DAVID GEORGE BUCK	FID	TWTR	S	2000	64.86	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	TWTR	S	300	64.89	n/a	n/a	0.00	0.0
CADIAN CAPITAL	041	TXRH	C	18,000	27.34	n/a	n/a	540.00	3.0
BUCK CAPITAL MGMT		UAL	B	110	38.03	n/a	23-Dec	non-brg	1.0
BUCK CAPITAL MGMT		UCP	B	240	14.61	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ULTA	B	40	97.80	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		URBN	B	70	38.54	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		URI	B	70	77.12	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	UTX	B	4,000	112.70	n/a	n/a	160.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		VMC	B	90	58.91	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		V	B	10	221.13	n/a	19-Dec	non-brg 1.0
ß BUCK CAPITAL MGMT		WAG	B	30	56.99	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		WCIC	B	220	18.85	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		WGO	B	30,000	26.90	n/a	n/a	non-brg 3.0
FRONTFOUR CAPITAL	046	WNC	B	16,700	12.28	n/a	19-Dec	501.00 3.0
ß BUCK CAPITAL MGMT		WSM	B	10	58.99	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		XPO	B	100	26.90	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		ZTS	B	180	32.14	n/a	n/a	non-brg 1.0
TYVOR CAPITAL LLC	031	ZUMZ	B	748	25.94	n/a	n/a	22.44 3.0
TOTAL (Trade Date) :							30,098.30	

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) :									30,098.30
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									30,098.30

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 2-Jan.
NONE

MRI Securities without Trade Activity on 2-Jan.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)