



Daily Compliance Activity Report

Trade Date: 12/10/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AGCO	S	16,250	46.28	n/a	n/a	487.50	3.0
PATTEN & PATTEN	025	AML	S	1,500	15.98	n/a	n/a	75.00	5.0
CAPITAL WORLD	084	AMZN	B	213,527	249.38	n/a	n/a	7,473.45	0.0
FRONTIER	029	APH	B	44,400	61.88	n/a	n/a	1,776.00	0.0
B BUCK CAPITAL MGMT		BONT	S	20,000	11.26	n/a	n/a	non-brg	4.0
f REUBEN D DVORETSKY	FID	BP	B	49	41.14	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	BTO	B	500	17.37	n/a	n/a	25.00	5.0
BNP PARIBAS SEC	040	BTU	B	10,000	27.01	n/a	n/a	300.00	3.0
f JONATHAN RICHARD HAR	FID	CBK	S	1000	4.91	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CMG	S	15	5.80	n/a	19-Oct	0.00	0.0
B BUCK CAPITAL MGMT		CNC	S	38,000	45.79	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	20,000	56.32	n/a	5-Nov	non-brg	4.0
JP MORGAN VENTURES	046	COH	S	16,000	57.27	n/a	5-Nov	640.00	4.0
PROSPECTOR PARTNERS LLC	036	COP	B	10,000	57.80	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		CROX	B	30,000	13.70	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CROX	B	30,000	13.75	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	50,000	13.83	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	50,000	13.87	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	CROX	B	800	13.82	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CVS	B	1000	47.49	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CVS	B	200	47.49	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	DELL	S	365,800	10.63	n/a	n/a	10,974.00	0.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	49.12	n/a	13-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	49.12	n/a	13-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	10,000	49.17	n/a	13-Nov	non-brg	4.0
f REUBEN D DVORETSKY	FID	ED	B	35	56.04	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EFA	B	1,000	55.55	n/a	n/a	50.00	5.0
f DAVID GEORGE BUCK	FID	FB	S	20	0.42	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FINL	S	30,000	19.48	n/a	28-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GCO	S	29,642	53.04	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GCO	S	58,992	53.29	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	GCO	S	27,560	53.21	n/a	n/a	1,102.40	0.0
PARKWEST	084	GEO	S	25,000	27.39	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	GME	S	25,000	27.41	n/a	n/a	1,000.00	4.0
OSKIE CAPITAL MGMT	224	GM	B	35,000	25.28	n/a	4-Dec	1,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GPS	B	20,000	30.71	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	HPQ	C	19,330	14.33	n/a	n/a	579.90	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	31.96	n/a	10-Dec	400.00	4.0
PATTEN & PATTEN	025	IJR	B	750	76.55	n/a	n/a	37.50	5.0
BNP PARIBAS SEC	040	IP	SS	25,000	36.24	n/a	6-Dec	750.00	3.0
B BUCK CAPITAL MGMT		IWF	C	150,000	65.74	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		IWF	C	150,000	65.74	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		IWO	C	105,000	93.66	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		IWO	C	105,000	93.66	n/a	n/a	non-brg	1.0
f REUBEN D DVORETSKY	FID	JNJ	B	42	70.68	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KORS	B	20,000	49.93	n/a	14-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	20,000	50.12	n/a	14-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	40,000	50.04	n/a	14-Nov	non-brg	4.0
HIGHBRIDGE CAP	041	MAS	B	16,000	15.95	n/a	n/a	480.00	3.0
B BUCK CAPITAL MGMT		MCD	SS	20,000	89.61	n/a	10-Dec	non-brg	4.0
f JASON ERIC COHEN	FID	MINI	S	397	21.37	n/a	n/a	0.00	0.0
LATEEF MGMT	035	MMM	S	750	92.19	n/a	15-Nov	90.00	12.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		MVRX	SS	1,400	246.38	n/a	n/a	non-brg	19.7
⌘ BUCK CAPITAL MGMT		MVRX	SS	1,400	246.38	n/a	n/a	non-brg	19.7
⌘ BUCK CAPITAL MGMT		MVRX	SS	40,000	246.29	n/a	n/a	non-brg	19.7
⌘ BUCK CAPITAL MGMT		MVRX	SS	40,000	246.29	n/a	n/a	non-brg	19.7
HOLLIS CAPITAL	033	NVDA	B	5,000	12.40	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		PCLN	SS	1,000	646.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PCLN	SS	1,500	641.75	n/a	n/a	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	PFE	B	30,900	25.45	n/a	n/a	1,236.00	0.0
⌘ BUCK CAPITAL MGMT		PII	S	20,000	80.27	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	PKB	B	3,000	16.81	n/a	n/a	150.00	5.0
⌘ BUCK CAPITAL MGMT		PVH	S	50,000	110.20	n/a	29-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	50,000	110.20	n/a	29-Nov	non-brg	4.0
TUDOR INVESTORS	028	ROST	SS	12,500	55.60	n/a	30-Nov	375.00	3.0
⌘ BUCK CAPITAL MGMT		SCSS	B	20,000	25.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKS	SS	100,000	10.57	n/a	n/a	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	SLB	B	40,100	71.90	n/a	n/a	1,604.00	0.0
ROSEDALE CAPITAL	046	STLD	B	10,000	12.74	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		SWN 12 C34	B	1,000	0.63	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SWN 12 C35	B	2,000	0.33	n/a	n/a	non-brg	100.0
SHEFFIELD ASSET MGMT	031	SWY	B	150,000	17.93	n/a	n/a	4,500.00	3.0
⚡ BUCK CAPITAL MGMT		TIF	SS	40,000	57.68	n/a	n/a	non-brg	4.0
⚡ REUBEN D DVORETSKY	FID	TNK	B	700	2.72	n/a	n/a	0.00	0.0
CAPITAL RESEARCH GROUP		296 UAL	B	112,093	20.80		n/a 10-Dec	3,923.26	0.0
⚡ BUCK CAPITAL MGMT		VFC	S	21,948	150.10	n/a	23-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VFC	S	37,152	150.25	n/a	23-Oct	non-brg	4.0
⚡ DAVID GEORGE BUCK	FID	WFC	S	2000	33.28	n/a	4-Dec	0.00	0.0
⚡ MATTHEW FRANCIS BUCK	FID	WFC	S	300	33.27	n/a	4-Dec	0.00	0.0
BNP PARIBAS SEC	040	WY	B	20,000	27.38	n/a	7-Dec	600.00	3.0
⚡ BUCK CAPITAL MGMT		XLY	SS	210,000	47.35	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XLY	SS	210,000	47.35	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	SS	160,000	62.76	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	SS	160,000	62.76	n/a	n/a	non-brg	1.0
⚡ DAVID GEORGE BUCK	FID	YUM	B	1000	66.17	n/a	7-Dec	0.00	0.0
TOTAL (Trade Date):								42,429.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/07	MILLENNIUM PARTNERS ICSUS/BAHN	028	GS	B	3,600	116.92	n/a	4-Dec	144.00 0.0
AO,CRT	12/07	MILLENNIUM PARTNERS ICSUS/BAHN	028	GS	B	3,600	116.92	n/a	4-Dec	144.00 0.0
AO,CRT	12/07	MILLENNIUM PARTNERS ICSUS/BAHN	028	MS	SS	29,500	16.96	n/a	4-Dec	1180.00 0.0
AO,CXL	12/07	MILLENNIUM PARTNERS ICSUS/BAHN	028	MS	SS	29,500	16.96	n/a	4-Dec	1180.00 0.0
AO,	12/07	COLUMBUS CIRCLE	036	TSCO	S	1,100	84.99	n/a	n/a	44.00 0.0

TOTAL (AO, CXL, CRT) :**44.00**

TOTAL (Trade Date) :

42,429.01

TOTAL (AO, CXL, CRT) :

44.00

TOTAL (RUN DATE) / NFS :**42,473.01**

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 10-Dec.
NONE

MRI Securities without Trade Activity on 10-Dec.
NONE

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)