



# Daily Compliance Activity Report

Trade Date: 01/25/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	ABBV	S	1,375	37.68	n/a	n/a	82.50	6.0
PRIMECAP MGMT	084	ABT	B	8,000	32.77	n/a	n/a	320.00	0.0
WOODWAY FINANCIAL	031	ABT	S	600	32.79	n/a	n/a	36.00	6.0
WOOSTER CAPITAL	044	ALV	SS	15,000	66.62	n/a	11-Jan	600.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>50</b>	<b>80.42</b>	<b>n/a</b>	<b>17-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>SS</b>	<b>50,000</b>	<b>13.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GEORGE WEISS	278	AXL	S	5,000	11.88	n/a	24-Jan	200.00	0.0
LOMAS CAPITAL	040	AXL	B	60,000	11.88	n/a	24-Jan	1,800.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	15,000	11.99	n/a	24-Jan	600.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	11.88	n/a	24-Jan	400.00	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>BFAM</b>	<b>B</b>	<b>2,000</b>	<b>22.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BFAM</b>	<b>S</b>	<b>2,000</b>	<b>28.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>C</b>	<b>35,000</b>	<b>37.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>C</b>	<b>60,000</b>	<b>37.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>BIG</b>	<b>S</b>	<b>25</b>	<b>31.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NWQ INVESTMENT MGMT CO	084	BKI	B	14,585	31.06	n/a	n/a	510.48	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>15,000</b>	<b>8.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b>	BUCK CAPITAL MGMT		BODY	S	15,000	8.02	n/a	n/a	non-brg	2.5
<b>B</b>	BUCK CAPITAL MGMT		BODY	S	25,592	8.02	n/a	n/a	non-brg	1.0
<b>f</b>	CHRISTOPHER ROBERT C	FID	BRCD	B	1000	5.75	n/a	23-Jan	0.00	0.0
	SCOPUS FUND	041	BWA	SS	40,000	77.22	n/a	11-Jan	1,600.00	0.0
	FORTRESS INVESTMENT (US)	036	CAT	S	31,500	95.26	n/a	11-Jul	630.00	0.0
	TROUBH PART	070	COH	B	10,000	51.49	n/a	24-Jan	500.00	5.0
	SENATOR INVESTMENT GROUP	036	COL	B	120,000	59.41	n/a	18-Jan	3,600.00	0.0
	PROVIDENCE EQUITY CAPITAL MARKETS LLC040	CZR		B	50,000	8.06	n/a	n/a	1,500.00	3.0
<b>f</b>	CHRISTOPHER ROBERT C	FID	DD	S	100	48.25	n/a	18-Jan	0.00	0.0
	WOODWAY FINANCIAL	031	DD	S	5,500	48.13	n/a	18-Jan	330.00	6.0
	MACELLUM CAPITAL	086	DLTR	SS	51,000	41.02	n/a	20-Nov	1,530.00	0.0
	WOODWAY FINANCIAL	031	DOW	S	1,311	34.64	n/a	18-Jan	78.66	6.0
<b>f</b>	ROHINI T SADARANGANI	FID	DRL	B	1000	0.70	n/a	n/a	0.00	0.0
<b>f</b>	ROHINI T SADARANGANI	FID	DRL	B	4000	0.70	n/a	n/a	0.00	0.0
	LATEEF MGMT	033	DVN	S	100	54.79	n/a	23-Jan	30.00	30.0
	IVORY CAPITAL	084	EA	B	75,500	14.74	n/a	n/a	3,775.00	0.0
<b>f</b>	DAVID GEORGE BUCK	FID	EEM	B	1000	44.11	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>EMC</b>	<b>B</b>	<b>100</b>	<b>25.12</b>	<b>n/a</b>	<b>23-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>1000</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>250</b>	<b>16.11</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>FBC</b>	<b>B</b>	<b>2500</b>	<b>15.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>400</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOCQUEVILLE	046	FLEX	B	125,000	6.31	n/a	n/a	6,250.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	FMCN	S	50,000	25.42	n/a	n/a	2,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>S</b>	<b>34,200</b>	<b>19.65</b>	<b>n/a</b>	<b>8-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	19.56	n/a	8-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>11,126</b>	<b>106.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>50,000</b>	<b>106.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>300</b>	<b>13.69</b>	<b>n/a</b>	<b>24-Jan</b>	<b>0.00</b>	<b>0.0</b>
FORTRESS INVESTMENT (US)	036	GD	B	42,000	70.85	n/a	17-Jan	840.00	0.0
WOODWAY FINANCIAL	031	GE	S	3,800	22.25	n/a	n/a	228.00	6.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>20000</b>	<b>12.13</b>	<b>n/a</b>	<b>18-Jan</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	GPI	SS	10,000	67.29	n/a	24-Jan	400.00	0.0
TIDE POINT CAPITAL	028	GPI	B	2,000	67.86	n/a	24-Jan	60.00	3.0
CYRUS CAPITAL	025	GPK	S	50,000	7.03	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	HAL	B	25,000	39.97	n/a	n/a	1,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAS</b>	<b>C</b>	<b>20,000</b>	<b>37.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>HLF</b>	<b>B</b>	<b>5</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	HON	S	100,000	68.24	25-Jan	25-Jan	3,000.00	0.0
TIDE POINT CAPITAL	028	HON	B	10,000	68.78	25-Jan	25-Jan	300.00	3.0
LATEEF MGMT	033	HPQ	B	300	17.01	n/a	n/a	30.00	10.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	89.44	n/a	n/a	200.00	0.0
WOODWAY FINANCIAL	031	IP	S	600	42.41	n/a	17-Jan	36.00	6.0
WOODWAY FINANCIAL	031	IRM	S	1,123	34.29	n/a	n/a	67.38	6.0
WOODWAY FINANCIAL	031	ITW	S	1,000	65.01	n/a	n/a	60.00	6.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>S</b>	<b>30</b>	<b>1.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOY</b>	<b>B</b>	<b>30,000</b>	<b>63.79</b>	<b>n/a</b>	<b>11-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KMT</b>	<b>B</b>	<b>13,000</b>	<b>40.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	KMX	S	50,000	39.45	n/a	n/a	0.00	0.0
WOODWAY FINANCIAL	031	KO	S	1,000	36.97	n/a	22-Oct	60.00	6.0
DEVENNY CAP LLC/MILLENIU	044	LEA	S	10,000	49.15	25-Jan	25-Jan	300.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MICHAEL ALEXANDER SM	FID	LEA	B	10	2.93	25-Jan	25-Jan	0.00	0.0
f	MICHAEL ALEXANDER SM	FID	LEA	B	30	3.10	25-Jan	25-Jan	0.00	0.0
	WOOSTER CAPITAL	044	LEA	S	10,000	48.93	25-Jan	25-Jan	400.00	4.0
	FIRST NY SEC/CHRIS	041	LPX	SS	10,000	20.90	n/a	25-Jan	500.00	5.0
	MACELLUM CAPITAL	086	MAT	SS	56,000	37.37	n/a	n/a	1,680.00	0.0
f	JASON ERIC COHEN	FID	MDY	B	3	1.63	n/a	n/a	0.00	0.0
	ACK ASSET	028	MLI	B	90,000	52.51	n/a	18-Dec	2,700.00	0.0
f	DAVID GEORGE BUCK	FID	MRK	B	1000	43.28	n/a	n/a	0.00	0.0
	WOODWAY FINANCIAL	031	MSFT	S	750	27.84	n/a	n/a	45.00	6.0
f	JOHN MICHAEL ZOLIDIS	FID	NFLX	B	50	159.64	n/a	n/a	0.00	0.0
	LATEEF MGMT	033	NKE	S	300	55.37	n/a	25-Jan	51.00	17.0
	PROSPECTOR PARTNERS LLC	036	NP	S	10,000	32.03	25-Jan	25-Jan	400.00	4.0
f	MANNY I KORMAN	FID	NYCB	S	20000	13.06	n/a	24-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		ORLY	SS	40,000	92.24	n/a	n/a	non-brg	4.0
	MOORE CAPITAL	041	PBF	S	65,299	29.90	n/a	n/a	1,958.97	0.0
	PAR CAPITAL	268	PBF	B	35,000	29.90	n/a	n/a	1,400.00	0.0
	WOODWAY FINANCIAL	031	PFE	S	1,000	26.93	n/a	n/a	60.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	PG	S	1,000	73.17	n/a	25-Jan	60.00	6.0
⚡ BUCK CAPITAL MGMT		ROST	B	10,000	61.09	n/a	4-Jan	non-brg	4.0
WOODWAY FINANCIAL	031	RTN	S	1,000	56.17	n/a	15-Jan	60.00	6.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	56.50	n/a	25-Jan	875.00	3.5
⚡ BUCK CAPITAL MGMT		SCSS	B	100,000	23.33	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SCSS	B	20,000	22.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SCSS	B	86,300	23.31	n/a	n/a	non-brg	4.0
PERIMETER	273	SFLY	S	8,168	33.45	n/a	n/a	326.72	0.0
⚡ BUCK CAPITAL MGMT		SKX	S	20,000	18.12	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	25,000	18.13	n/a	n/a	non-brg	2.5
LATEEF MGMT	033	SPLS	B	150	12.99	n/a	n/a	30.00	20.0
⚡ DAVID GEORGE BUCK	FID	SPPI	B	1000	11.83	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SSI	B	10,000	22.90	n/a	17-Jan	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	STZ	C	22,200	38.25	n/a	16-Jan	666.00	0.0
⚡ YANAI A FRANK	FID	SWKS	B	725	21.08	n/a	n/a	0.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	SYMC	S	100,000	22.04	n/a	n/a	4,000.00	0.0
⚡ JASON ERIC COHEN	FID	TBF	B	200	30.01	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>TIVO</b>	<b>S</b>	<b>70</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	TSN	S	200	22.49	n/a	n/a	30.00	15.0
WOODWAY FINANCIAL	031	T	S	2,500	33.98	n/a	n/a	150.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>UA</b>	<b>B</b>	<b>20,000</b>	<b>48.26</b>	<b>n/a</b>	<b>25-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UA</b>	<b>B</b>	<b>200,000</b>	<b>47.68</b>	<b>n/a</b>	<b>25-Jan</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	VZ	B	47,316	42.51	n/a	n/a	1,514.12	0.0
WOODWAY FINANCIAL	031	WAG	S	1,125	39.68	n/a	n/a	67.50	6.0
CSFB GLOBAL PROPRIETARY	041	WY	S	30,000	30.53	n/a	25-Jan	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>C</b>	<b>225,000</b>	<b>50.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
TUDOR INVESTORS	028	ZUMZ	B	37,500	21.43	n/a	n/a	1,125.00	3.0
<b>TOTAL (Trade Date):</b>								<b>54,453.33</b>	

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):									54,453.33
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									54,453.33
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	01/22	BUCK CAPITAL MGMT.	ITX SM	B	30,000	142.63	n/a	n/a	6418.17	
CRT	01/22	BUCK CAPITAL MGMT	ITX SM	B	30,000	142.63	n/a	n/a	6418.17	21.4
AO	01/24	BUCK CAPITAL MGMT	SCSS	B	21,450	22.55	n/a	n/a	214.50	1.0

MRI Securities with Trade Activity on 25-Jan.

HON, LEA, NP

MRI Securities without Trade Activity on 25-Jan.

JNPR, UAL, RYN

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)