



Daily Compliance Activity Report

Trade Date: 01/05/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1913 HK	B	100,000	4.36	n/a	n/a	non-brg	0.9
BUCK CAPITAL MGMT		1913 HK	B	50,000	4.36	n/a	n/a	non-brg	0.9
BUCK CAPITAL MGMT		1913 HK	B	50,000	4.36	n/a	n/a	non-brg	0.9
RBC CAPITAL MARKETS	040	AAP	B	2,000	70.41	n/a	n/a	80.00	4.0
PZENA INV ADV	044	ACE	S	1,500	69.33	n/a	n/a	52.50	3.5
TALPION LLC	040	ACOM	C	9,000	26.84	n/a	n/a	360.00	4.0
BUCK CAPITAL MGMT		AEO	B	180,000	13.00	n/a	2-Dec	non-brg	4.0
RIDGECREST INV MGMT LLC	028	AEO	B	10,000	13.08	n/a	2-Dec	500.00	5.0
CADIAN CAPITAL	041	ANF	B	45,000	45.27	n/a	3-Jan	1,350.00	3.0
SIMMONS VENTURES	041	ARO	B	10,000	15.35	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		ASNA	C	50,000	32.59	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	AWI	S	10,000	45.84	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT		AXE	B	25,000	60.71	n/a	4-Jan	non-brg	4.0
MARK DEVEREAUX KAICH	FID	BAC	B	1000	6.14	n/a	4-Jan	0.00	0.0
JOSEPH CIRO AMATURO	FID	BBY	S	1000	23.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BONT	S	100,000	2.94	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		BONT	S	47,177	2.93	n/a	n/a	non-brg	2.0
SAGE ASSET MGMT	025	BZ	S	76,500	7.26	n/a	n/a	3,060.00	4.0
CASTLE ARK	031	CAT	B	56,970	95.92	n/a	21-Dec	2,848.50	5.0
Ⓐ BUCK CAPITAL MGMT		CCL	B	20,000	32.80	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	CFX	B	10,000	28.46	n/a	n/a	300.00	3.0
f FRANCIS MICHAEL MCCA	FID	COF	B	200	46.00	n/a	5-Jan	0.00	0.0
KLEINHEINZ CAP PART	031	COST	SS	30,000	82.60	n/a	n/a	1,500.00	5.0
Ⓐ BUCK CAPITAL MGMT		CROX	B	20,000	15.85	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	CROX	S	44,370	15.77	n/a	n/a	1,774.80	4.0
f KAREN F LEDDY	FID	CROX	B	700	15.73	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		CSTR	S	50,000	43.45	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5000	9.35	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CWTR	B	3000	1.03	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CWTR	B	6000	1.04	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		DECK	C	20,000	81.77	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DECK	B	300	82.92	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	DE	B	5,000	80.96	n/a	21-Dec	150.00	3.0
RBC CAPITAL MARKETS	040	DG	B	10,000	41.27	n/a	5-Dec	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ENDP	S	25,000	34.43	n/a	5-Jan	1,000.00	4.0
TUDOR INVESTORS	028	ETN	B	5,000	45.20	n/a	4-Jan	150.00	3.0
B BUCK CAPITAL MGMT		EXPR	B	20,000	18.73	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	FDX	B	5,000	83.95	n/a	n/a	150.00	3.0
RBC CAPITAL MARKETS	040	FL	B	1,300	23.73	n/a	18-Nov	52.00	4.0
MERRILL ASSET/BLACKROCK	297	FOR	S	10,200	15.18	n/a	3-Nov	408.00	4.0
B BUCK CAPITAL MGMT		FOSL 3 C90	C	600	3.41	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		FOSL 3 C90	C	600	3.50	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		FOSL	C	30,000	80.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	C	60,600	81.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	C	60,600	81.27	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	FOSL	SS	3,000	78.51	n/a	n/a	120.00	4.0
OZ MGMT	040	F	SS	125,000	11.25	n/a	5-Jan	3,750.00	3.0
PLATTE RIVER CAPITAL	240	GE	B	40,000	18.53	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		GIII	S	19,339	24.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	S	19,340	24.39	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	GMPRB	B	1000	35.82	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	GM	S	10,000	21.80	n/a	5-Jan	300.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	GM	B	925	21.61	n/a	5-Jan	0.00	0.0
	SENATOR INVESTMENT GROUP	036	GRA	S	50,000	45.83	n/a	n/a	1,500.00	3.0
	HOPLITE MGMT	025	GRPN	SS	75,000	17.75	n/a	n/a	3,000.00	4.0
B	BUCK CAPITAL MGMT		HLF	B	10,000	51.57	n/a	n/a	non-brg	4.0
	TALPION LLC	040	HNT	S	3,900	31.52	n/a	n/a	156.00	4.0
	SIMMONS VENTURES	041	HWD	B	2,900	10.96	n/a	n/a	116.00	4.0
	BMO NESBITT BURNS	041	IP	S	30,000	30.52	n/a	27-Oct	1,500.00	5.0
f	JOEL GIFFORD TISS	FID	IR	S	20	1.10	n/a	20-Oct	0.00	0.0
	TUDOR INVESTORS	028	JBHT	B	10,000	44.14	n/a	n/a	300.00	3.0
	PILOT ADV	041	JCP	SS	8,000	32.81	n/a	3-Jan	240.00	3.0
B	BUCK CAPITAL MGMT		JWN	S	11,784	50.73	n/a	3-Jan	non-brg	4.0
	TALPION LLC	040	JWN	C	1,120	49.67	n/a	3-Jan	44.80	4.0
	LISTED ERR	099	JWN	B	3,585	50.70	n/a	3-Jan	0.00	0.0
	LISTED ERR	099	JWN	S	3,585	50.73	n/a	3-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		KBH	B	125,000	6.86	n/a	n/a	non-brg	3.0
B	BUCK CAPITAL MGMT		KEY	B	100,000	7.76	n/a	n/a	non-brg	3.0
	MOORE CAPITAL	041	KORS	B	18,500	27.00	n/a	n/a	555.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KSS	C	255,000	46.54	n/a	3-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	C	55,000	46.54	n/a	3-Jan	non-brg	4.0
THE JAY GOLDMAN	028	KSS	B	20,000	46.81	n/a	3-Jan	800.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	12,500	26.86	n/a	4-Jan	625.00	5.0
B BUCK CAPITAL MGMT		LEG	SS	50,000	23.19	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LIZ	B	37,500	9.09	n/a	7-Oct	non-brg	3.0
B BUCK CAPITAL MGMT		LIZ	B	37,500	9.09	n/a	7-Oct	non-brg	3.0
B BUCK CAPITAL MGMT		LIZ	B	62,500	9.06	n/a	7-Oct	non-brg	2.0
B BUCK CAPITAL MGMT		LIZ	B	62,500	9.06	n/a	7-Oct	non-brg	2.0
BRONSON POINT	036	MET	B	25,000	32.94	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	MHK	B	8,000	58.44	n/a	n/a	240.00	3.0
f DANIEL JORDAN COHEN	FID	MINI	B	180	17.74	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	MINI	B	2000	17.46	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MMM	B	40	2.42	n/a	3-Jan	0.00	0.0
MOORE CAPITAL	041	MSFT	SS	120,000	27.40	n/a	n/a	3,600.00	3.0
f EDWARD W WHEELER	FID	MTOR	S	200	0.80	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	29.67	n/a	26-Oct	1,250.00	5.0
SCOPUS FUND	041	MWV	SS	35,000	29.83	n/a	26-Oct	1,400.00	4.0
SCOPUS FUND	041	MWV	S	22,200	29.86	n/a	26-Oct	888.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	097	MWV	B	25,000	29.67	n/a	26-Oct	0.00	0.0
LISTED ERR	097	MWV	S	25,000	29.67	n/a	26-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		M	S	20,000	33.75	n/a	3-Jan	non-brg	4.0
CYPRESS CAP MGMT LLC	040	M	SS	13,300	32.49	n/a	3-Jan	532.00	4.0
ADALY INV MGMT	031	NEM	B	22,500	62.12	n/a	n/a	1,125.00	5.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.48	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	22.19	n/a	3-Jan	400.00	4.0
DEVENNY CAP LLC	044	ODFL	B	5,000	39.39	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	ODFL	S	5,000	39.39	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		PHM	B	125,000	6.69	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		PII	S	30,000	56.75	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	PLCE	B	35,000	47.07	n/a	5-Jan	1,750.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	C	45,000	47.24	n/a	5-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	C	45,000	47.24	n/a	5-Jan	non-brg	4.0
SCOPUS FUND	041	PLCE	B	2,600	47.08	n/a	5-Jan	104.00	4.0
⌘ BUCK CAPITAL MGMT		PSMT	B	10,000	69.65	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		PSMT	B	10,000	69.65	n/a	n/a	non-brg	2.5
PRIMECAP MGMT	084	PSS	S	4,500	14.22	n/a	n/a	180.00	4.0
RBC CAPITAL MARKETS	040	PVH	B	10,000	71.67	n/a	2-Dec	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		RGC	S	217,700	11.62	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	RKT	B	15,000	59.05	n/a	5-Jan	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	40,000	57.35	n/a	5-Jan	2,000.00	5.0
DEVENNY CAP LLC	044	RKT	B	5,000	57.34	n/a	5-Jan	150.00	3.0
DEVENNY CAP LLC	044	RKT	S	2,500	59.19	n/a	5-Jan	75.00	3.0
RIDGECREST INV MGMT LLC	028	RKT	B	15,000	58.73	n/a	5-Jan	750.00	5.0
SF SENTRY	085	RKT	B	10,100	57.61	n/a	5-Jan	505.00	5.0
SONTERRA CAP	041	RKT	B	15,000	57.07	n/a	5-Jan	600.00	4.0
B BUCK CAPITAL MGMT		RRR	S	72,900	18.51	n/a	16-Dec	non-brg	4.0
f KAREN F LEDDY	FID	RRR	S	1500	18.62	n/a	16-Dec	0.00	0.0
TUDOR INVESTORS	028	RSG	B	10,000	27.57	n/a	n/a	300.00	3.0
PRIMECAP MGMT	084	SCHW	B	6,000	11.68	n/a	n/a	240.00	4.0
f FRANCIS MICHAEL MCCA	FID	SDS	S	50	18.54	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	S	700	11.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	SS	100,000	12.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SODA	S	50,000	40.72	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SODA	S	50,000	40.72	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SSI	S	25,000	13.46	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		STI	B	50,000	19.06	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	SWK	SS	5,000	69.22	n/a	n/a	150.00	3.0
f CHRISTOPHER ARTHUR K	FID	SWN	B	500	33.20	n/a	22-Dec	0.00	0.0
NEWLAND CAPITAL MGT	025	TC	B	50,000	7.31	n/a	n/a	1,500.00	3.0
NEWLAND CAPITAL MGT	025	TEL	B	25,000	31.83	n/a	n/a	1,000.00	4.0
f MARK DEVEREAUX KAICH	FID	TIVO	S	200	10.10	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TRN	S	15,000	29.50	n/a	n/a	450.00	3.0
SENATOR INVESTMENT GROUP	036	TXT	S	120,000	19.12	n/a	n/a	3,600.00	3.0
TUDOR INVESTORS	028	UPS	B	5,000	72.74	n/a	n/a	150.00	3.0
f STEFFANIE CARMELA CA	FID	UQM	B	3000	1.65	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	URBN	B	15,300	27.83	n/a	n/a	612.00	4.0
ARSENAL ASSET MANAGEMENT	028	VC	S	10,000	50.01	n/a	n/a	400.00	4.0
COLUMBUS CAP MGMT LLC	084	WNC	S	25,000	8.48	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	35,000	18.70	n/a	28-Oct	1,750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	YUM	B	2,000	58.83	n/a	8-Dec	100.00	5.0
B BUCK CAPITAL MGMT		ZUMZ	C	40,000	29.05	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANTHONY SUTERA	FID		B	25000	97.10	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID		B	100000	93.60	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	15000	0.07	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								59,243.60	

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) :									59,243.60
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									59,243.60

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 5-Jan.
NONE

MRI Securities without Trade Activity on 5-Jan.
V

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)