



Daily Compliance Activity Report

Trade Date: 02/01/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	250	450.90	n/a	n/a	12.50	0.0
OHIO PERS	047	AA	S	67,300	8.99	n/a	n/a	2,019.00	0.0
B BUCK CAPITAL MGMT		AEO	B	30,000	20.23	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	1,300	20.25	n/a	2-Dec	non-brg	1.0
CR INTRINSIC/CHRIS C	041	AGCO	SS	10,000	53.33	n/a	n/a	350.00	3.5
EDGEWOOD	085	AGN	B	597	106.63	n/a	28-Jan	29.85	0.0
f MARK ANTHONY GRONET	FID	AIG	B	300	38.87	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	ALB	SS	10,000	61.26	n/a	n/a	400.00	4.0
EDGEWOOD	085	AMT	B	1,238	76.86	n/a	n/a	61.90	0.0
f ALICE BEEBE LONGLEY	FID	AMZN	S	50	266.08	n/a	n/a	0.00	0.0
EDGEWOOD	085	AMZN	B	370	263.34	n/a	n/a	18.50	0.0
B BUCK CAPITAL MGMT		ANF	S	2,000	50.46	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ANN	S	900	30.89	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	30.70	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		ARO	C	300	13.62	n/a	n/a	non-brg	1.0
NEWLAND CAPITAL MGT	025	AXL	S	10,000	11.93	n/a	31-Jan	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	278	A	B	25,000	45.34	n/a	n/a	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	A	C	10,000	45.46	n/a	n/a	300.00	0.0
DC CAPITAL	044	BA	B	100,000	74.55	n/a	30-Jan	4,000.00	4.0
OZ MGMT	040	BA	B	231,701	74.87	n/a	30-Jan	6,951.03	0.0
f ALEXANDRA ELISE ZOLI	FID	BBW	B	2500	4.48	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	1000	4.70	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	1000	4.74	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	2500	4.73	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	BBW	B	5000	4.77	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	BBW	B	240	4.72	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBY	C	200	16.26	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BID	C	200	35.96	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BIG	C	200	32.20	n/a	n/a	non-brg	1.0
NWQ INVESTMENT MGMT CO	084	BKI	B	2,900	28.88	n/a	n/a	101.50	0.0
NEWLAND CAPITAL MGT	025	BMS	B	5,000	36.08	n/a	n/a	200.00	4.0
NWQ INVESTMENT MGMT CO	084	BOBE	B	4,200	43.82	n/a	n/a	147.00	0.0
B BUCK CAPITAL MGMT		BODY	S	25,000	8.09	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		BONT	S	1,300	12.50	n/a	1-Feb	non-brg	1.0
f MARK ANTHONY GRONET	FID	BRCD	B	5000	5.70	n/a	23-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DENVER INST. ADV	046	BWS	B	27,720	17.17	n/a	n/a	1,108.80	0.0
⚡ BUCK CAPITAL MGMT		BYI	S	30,000	48.07	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BYI	S	600	48.18	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CAKE	C	200	33.68	n/a	3-Jan	non-brg	1.0
f EDWARD W WHEELER	FID	CBT	B	10000	37.36	n/a	18-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		CCL	C	200	39.05	n/a	n/a	non-brg	1.0
EDGEWOOD	085	CELG	B	1,387	101.17	n/a	n/a	69.35	0.0
PERIMETER	273	CHMT	B	7,520	23.90	n/a	18-Feb	225.60	0.0
EDGEWOOD	085	CME	B	1,743	58.60	n/a	28-Apr	87.15	0.0
EDGEWOOD	085	CMG	B	325	310.74	n/a	31-Jan	16.25	0.0
⚡ BUCK CAPITAL MGMT		COH	C	200	51.11	n/a	24-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		COLM	C	100	51.21	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CPB	C	200	36.79	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CRMB-P	S	1,000	3.04	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CROX	S	4,000	14.91	n/a	n/a	non-brg	1.0
EDGEWOOD	085	CTSH	B	1,946	78.38	n/a	n/a	97.30	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DAL	S	35,000	13.76	n/a	28-Jan	non-brg	1.0
CAPITAL GROWTH MGMT.	241	DAL	S	150,000	13.78	n/a	28-Jan	6,000.00	4.0
PERIMETER	273	DAR	B	32,210	17.00	n/a	n/a	966.30	0.0
⚡ BUCK CAPITAL MGMT		DECK	S	300	39.91	n/a	n/a	non-brg	1.0
⚡ PATRICK O'GRADY	FID	DECK	S	10	39.68	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DELB BB	C	100	49.10	n/a	n/a	non-brg	7.4
LOMAS CAPITAL	040	DFS	S	67,000	38.58	n/a	1-Feb	2,010.00	3.0
⚡ BUCK CAPITAL MGMT		DG	S	200	46.27	n/a	12-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DHI	S	20,000	23.49	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	S	1,300	47.60	n/a	30-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DRI	C	200	46.56	n/a	3-Jan	non-brg	1.0
KINGDON ASSET MGMT	041	DRI	B	50,000	47.00	n/a	3-Jan	2,000.00	0.0
EDGEWOOD	085	ECL	B	1,065	73.37	n/a	18-Jan	53.25	0.0
LEVIN CAPITAL STRATEGIES	041	ECL	C	6,000	73.79	n/a	18-Jan	180.00	0.0
KAM ADVISORS LLC	041	EMN	B	58,800	73.75	n/a	n/a	1,764.00	0.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	107,253	31.48	1-Feb	1-Feb	3,217.59	0.0
⚡ BUCK CAPITAL MGMT		ENR	C	100	88.11	n/a	31-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	ESSX	S	3026	3.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EXPR	S	1,500	18.43	n/a	n/a	non-brg	1.0
S.A.C. CAPITAL	044	FDO	B	30,000	56.54	n/a	4-Jan	1,050.00	3.5
B BUCK CAPITAL MGMT		FINL	S	400	18.64	n/a	30-Jan	non-brg	1.0
f MARK ANTHONY GRONET	FID	FINL	B	1000	18.70	n/a	30-Jan	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	3,100	34.35	n/a	30-Jan	non-brg	1.0
NWQ INVESTMENT MGMT CO	084	FOR	S	46,875	19.27	n/a	8-Nov	1,640.63	0.0
B BUCK CAPITAL MGMT		FOSL 2 C110	SS	400	3.50	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		FOSL	S	600	105.40	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	FOSL	SS	16,376	104.19	n/a	n/a	655.04	0.0
B BUCK CAPITAL MGMT		FRAN	S	100	28.02	n/a	n/a	non-brg	1.0
CAERUS GLOBAL	041	F	S	50,000	13.01	n/a	1-Feb	2,000.00	4.0
CASTLEROCK	040	F	SS	41,693	13.01	n/a	1-Feb	1,667.72	4.0
OZ MGMT	040	F	S	250,000	13.07	n/a	1-Feb	7,500.00	0.0
PHILADELPHIA FINANCIAL	033	F	SS	100,000	13.05	n/a	1-Feb	4,000.00	0.0
B BUCK CAPITAL MGMT		GES	C	100	27.34	n/a	29-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	S	2,900	36.15	n/a	n/a	non-brg	1.0
EDGEWOOD	085	GILD	B	1,075	40.23	n/a	n/a	53.75	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		GIL	S	2,000	36.84	n/a	30-Nov	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	GM	B	5,000	28.45	n/a	1-Feb	150.00	0.0
TROUBH PART	070	GM	B	25,000	28.47	n/a	1-Feb	1,250.00	5.0
ß BUCK CAPITAL MGMT		GNC	B	70,000	33.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	S	1,800	33.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GNC	S	100,000	33.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	S	110,000	33.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	S	120,000	34.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	S	61,932	33.50	n/a	n/a	non-brg	4.0
EDGEWOOD	085	GOOG	B	160	765.50	n/a	n/a	8.00	0.0
ß BUCK CAPITAL MGMT		GPS	S	600	32.99	n/a	n/a	non-brg	1.0
HOPLITE MGMT	025	GRPN	B	150,654	5.62	n/a	n/a	4,519.62	0.0
f DAVID GEORGE BUCK	FID	GS	S	10	3.05	n/a	17-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		HAS	C	400	37.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HBC CN	S	800	16.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	1,800	37.82	n/a	30-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	C	300	67.39	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	SS	30,000	67.26	n/a	n/a	non-brg	1.0
CAPITAL WORLD	084	HD	S	345,749	67.44	n/a	n/a	12,101.22	0.0

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LEVIN CAPITAL STRATEGIES	041	HES	B	7,449	67.74	n/a	n/a	223.47	0.0
B BUCK CAPITAL MGMT		HIBB	C	100	53.13	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	HMC	B	20,000	38.46	n/a	n/a	1,000.00	5.0
BRONSON POINT	036	HST	B	50,000	16.62	n/a	13-Jun	1,500.00	0.0
CAPITAL GROWTH MGMT.	241	HTZ	B	100,000	18.63	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		ICON	C	400	24.21	n/a	n/a	non-brg	1.0
LIONEYE CAPITAL	040	IDTI	B	25,000	7.36	n/a	n/a	1,250.00	5.0
EDGEWOOD	085	IHS	B	975	103.92	n/a	n/a	48.75	0.0
EDGEWOOD	085	ILMN	B	1,698	50.94	n/a	n/a	84.90	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	265,000	42.00	n/a	1-Feb	13,250.00	5.0
TIDE POINT CAPITAL	028	IP	B	25,000	42.02	n/a	1-Feb	750.00	0.0
EDGEWOOD	085	ISRG	B	171	583.50	n/a	n/a	8.56	0.0
B BUCK CAPITAL MGMT		ITX SM	B	10,000	138.74	n/a	n/a	non-brg	20.8
B BUCK CAPITAL MGMT		ITX SM	S	100	138.28	n/a	n/a	non-brg	20.7
IONIC CAPITAL MANAGEMENT	041	IWM	SS	390	90.55	n/a	n/a	11.70	0.0
B BUCK CAPITAL MGMT		JCI	B	32,000	31.23	n/a	22-Jan	non-brg	0.8

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⚡ BUCK CAPITAL MGMT		JNY	C	1,200	12.16	n/a	25-Oct	non-brg	1.0
PARAMETER CAPITAL MGMT LLC044		JOY	B	40,000	64.70	n/a	11-Jul	1,600.00	0.0
⚡ BUCK CAPITAL MGMT		JWN	C	100	55.50	n/a	1-Feb	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KORS	S	1,000	56.89	n/a	24-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KR	C	400	27.69	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KSS	C	600	46.37	n/a	1-Feb	non-brg	1.0
BRIGADE CAPITAL MGMT	029	LCC	S	64,906	14.35	n/a	30-Jan	1,947.18	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		LEA	B	3,433	49.08		n/a 1-Feb	137.32	4.0
VERITION	028	LEA	B	5,000	49.29	n/a	1-Feb	150.00	3.0
WEXFORD CAPITAL	284	LEA	B	20,000	49.60	n/a	1-Feb	600.00	0.0
⚡ BUCK CAPITAL MGMT		LEG	C	300	29.61	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	LIFE	B	1000	64.81	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LIFE	B	300	64.78	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	LIFE	B	300	64.77	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	25,000	19.87	n/a	1-Feb	1,250.00	5.0
S.A.C. CAPITAL	044	LPX	SS	25,000	20.05	n/a	1-Feb	875.00	3.5
⚡ BUCK CAPITAL MGMT		MCD	C	200	95.96	n/a	28-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MDC	SS	15,000	40.30	n/a	n/a	non-brg	1.0

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EDGEWOOD	085	MJN	B	1,184	75.42	n/a	n/a	59.20	0.0
EDGEWOOD	085	MJN	S	336,900	75.17	n/a	n/a	16,845.00	0.0
LEVIN CAPITAL STRATEGIES	041	MRK	B	16,079	42.01	n/a	n/a	482.37	0.0
f EDWARD W WHEELER	FID	MTRX	S	10000	14.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	300	262.64	n/a	n/a	non-brg	21.0
B BUCK CAPITAL MGMT		MW	S	100	29.79	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		M	S	1,400	39.60	n/a	1-Feb	non-brg	1.0
NWQ INVESTMENT MGMT CO	084	NWBI	B	5,850	12.20	n/a	n/a	204.75	0.0
B BUCK CAPITAL MGMT		NWY	S	1,300	3.93	n/a	n/a	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	NYCB	B	500	13.24	n/a	30-Jan	0.00	0.0
f MARK ANTHONY GRONET	FID	NYCB	B	1000	13.40	n/a	30-Jan	0.00	0.0
B BUCK CAPITAL MGMT		ORLY	C	100	93.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	C	100	65.10	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	C	30,000	64.57	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	PFE	S	310,094	27.69	n/a	n/a	9,302.82	0.0
B BUCK CAPITAL MGMT		PII	B	20,000	87.81	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	400	87.78	n/a	n/a	non-brg	1.0

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CSFB GLOBAL PROPRIETARY	041	PKG	B	113,400	38.70	n/a	1-Feb	5,670.00	5.0
NEWLAND CAPITAL MGT	025	PLOW	S	12,204	13.56	n/a	n/a	488.16	4.0
BRONSON POINT	036	PM	C	50,000	87.97	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		PNRA	C	100	163.29	n/a	31-Jan	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	PRGO	B	38,900	106.09	n/a	1-Feb	1,556.00	0.0
B BUCK CAPITAL MGMT		PVH 6 C125	SS	500	4.32	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		PVH	S	400	118.61	n/a	17-Jan	non-brg	1.0
f MARK ANTHONY GRONET	FID	PWE	B	3000	10.13	n/a	n/a	0.00	0.0
EDGEWOOD	085	PX	B	453	111.57	n/a	18-Jan	22.65	0.0
EDGEWOOD	085	QCOM	B	1,730	66.17	n/a	n/a	86.50	0.0
B BUCK CAPITAL MGMT		RCII	C	100	36.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		RDN	B	75,000	6.73	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RDN	B	75,000	6.79	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RH	S	400	35.55	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	40,000	79.91	n/a	1-Feb	2,000.00	5.0
DENVER INST. ADV	046	RKT	B	8,100	79.99	n/a	1-Feb	324.00	0.0

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GEORGE WEISS	278	RKT	B	5,900	80.02	n/a	1-Feb	236.00	0.0
⌘ BUCK CAPITAL MGMT		RLGY	S	20,000	46.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RLGY	S	600	45.57	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RL	C	100	163.18	n/a	5-Nov	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	RL	S	5,000	163.05	n/a	5-Nov	200.00	0.0
f PATRICK O'GRADY	FID	ROIAK	S	600	1.34	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ROST	B	20,000	59.43	n/a	1-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ROST	S	200	59.83	n/a	1-Feb	non-brg	1.0
SCOPUS FUND	041	ROST	S	70,900	59.68	n/a	1-Feb	2,836.00	0.0
⌘ BUCK CAPITAL MGMT		SCSS	B	50,000	22.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SCSS	S	1,500	22.03	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SHOO	S	1,100	46.36	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SKS	C	1,600	10.83	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SKX	S	1,500	19.03	n/a	n/a	non-brg	1.0
IONIC CAPITAL MANAGEMENT	041	SPY	SS	450	151.21	n/a	n/a	13.50	0.0
⌘ BUCK CAPITAL MGMT		SSI	B	20,000	22.94	n/a	1-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SSI	S	700	22.96	n/a	1-Feb	non-brg	1.0
FIRST NY SEC/CHRIS	041	SSI	B	10,000	22.98	n/a	1-Feb	500.00	5.0
f DAVID GEORGE BUCK	FID	STWD	S	4000	25.76	n/a	n/a	0.00	0.0

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f	DAVID GEORGE BUCK	FID	STWD	S	500	25.74	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	STWD	S	500	25.75	n/a	n/a	0.00	0.0
	HALCYON LLC	041	STZ	B	75,000	33.40	1-Feb	1-Feb	3,000.00	0.0
	ACK ASSET	028	ST	S	12,000	34.22	n/a	n/a	360.00	0.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	4,279	42.01		n/a	171.16	4.0
B	BUCK CAPITAL MGMT		SWY	C	1,100	19.03	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		SYX	C	900	31.95	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		TDG	C	100	137.44	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		TGT	C	400	61.35	n/a	3-Jan	non-brg	1.0
	KINGDON ASSET MGMT	041	TGT	B	45,000	61.10	n/a	3-Jan	1,800.00	0.0
	LEVIN CAPITAL STRATEGIES	041	TGT	B	5,868	61.50	n/a	3-Jan	176.04	0.0
B	BUCK CAPITAL MGMT		TIF	C	500	66.31	n/a	n/a	non-brg	1.0
	BNP PARIBAS SEC	040	TJX	S	25,000	45.48	n/a	1-Feb	750.00	3.0
B	BUCK CAPITAL MGMT		TJX	S	500	45.44	n/a	1-Feb	non-brg	1.0
	EDGEWOOD	085	TROW	B	1,405	72.37	n/a	n/a	70.25	0.0
B	BUCK CAPITAL MGMT		TSCO	S	200	103.08	n/a	n/a	non-brg	1.0
	1798 CAP/LOMBARD ASSET	040	TYC	B	17,500	30.55	n/a	30-Jan	875.00	0.0
B	BUCK CAPITAL MGMT		UA	S	500	51.37	n/a	31-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ULTA	S	800	98.31	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		URBN	S	700	42.98	n/a	n/a	non-brg	1.0
HALCYON LLC	041	VC	S	11,217	57.28	n/a	n/a	448.68	0.0
EDGEWOOD	085	VIAB	B	1,563	60.12	n/a	n/a	78.15	0.0
SENATOR INVESTMENT GROUP	036	VIAB	S	97,869	60.60	n/a	n/a	2,936.07	3.0
CATAPULT/KGLT	040	VLO	S	25,000	44.83	n/a	n/a	1,000.00	0.0
EDGEWOOD	085	V	B	795	157.83	n/a	16-Jan	39.75	0.0
f DAVID GEORGE BUCK	FID	WAG	B	1500	40.36	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WAG	B	200	40.32	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WAG	B	300	40.33	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WCN	B	100,000	36.02	n/a	n/a	3,000.00	0.0
B BUCK CAPITAL MGMT		WFM	C	100	96.35	n/a	n/a	non-brg	1.0
1798 CAP/LOMBARD ASSET	040	WHR	B	3,000	115.10	n/a	n/a	150.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	S	5,000	92.47	n/a	n/a	200.00	0.0
f JONATHAN RICHARD HAR	FID	WNC	S	1000	10.74	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	WNC	S	550	10.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WWW	C	200	43.08	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IONIC CAPITAL MANAGEMENT	041	XLU	SS	2,200	36.69	n/a	n/a	66.00	0.0
⚡ BUCK CAPITAL MGMT		XLY	C	2,200	50.49	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	C	2,600	67.22	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		YUM	C	200	65.34	n/a	28-Jan	non-brg	1.0
EDGEWOOD	085	YUM	B	1,502	65.63	n/a	28-Jan	75.10	0.0
⚡ BUCK CAPITAL MGMT		ZTS	S	13,979	31.50	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		ZUMZ	S	200	21.31	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							158,342.88		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/29	RIVERPARK CAPITAL	025	CME	B	2,942	57.82	n/a	28-Apr	147.10 5.0
AO,CXL	01/29	RIVERPARK CAPITAL	025	CME	B	2,942	57.82	n/a	28-Apr	0.00 0.0

TOTAL (AO, CXL, CRT) :	147.10
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TOTAL (Trade Date) :	158,342.88
TOTAL (AO, CXL, CRT) :	147.10

TOTAL (RUN DATE) / NFS:	158,489.98
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	01/31	BUCK CAPITAL MGMT.	TPH	S	3,500	19.46	n/a	n/a	87.52	
CRT	01/31	BUCK CAPITAL MGMT	TPH	S	3,500	19.56	n/a	n/a	87.52	2.5
AO	01/31	BUCK CAPITAL MGMT	ZTS	B	20,000	26.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 1-Feb.

ENDP, STZ

MRI Securities without Trade Activity on 1-Feb.

AN, BUD

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)