



# Daily Compliance Activity Report

Trade Date: 02/12/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	50,000	20.30	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	50,000	20.33	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		ANF 3 C55	SS	2,000	1.80	n/a	n/a	non-brg	300.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	10,000	50.91	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT		BA	B	7,000	76.19	n/a	6-Feb	non-brg	4.0
BUCK CAPITAL MGMT		BCC	B	35,000	27.03	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BIG	B	12,500	33.10	n/a	n/a	375.00	3.0
MARK ANTHONY GRONET	FID	BOX	S	1000	23.00	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	BUD	B	1000	87.49	n/a	1-Feb	0.00	0.0
MATTHEW FRANCIS BUCK	FID	BUD	B	200	87.45	n/a	1-Feb	0.00	0.0
BALYASNY ASSET MGMT	044	CAR	SS	20,000	23.02	n/a	n/a	1,000.00	0.0
TALPION LLC	040	CBB	B	800	4.37	n/a	n/a	24.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CMG	SS	7,500	322.95	n/a	6-Feb	225.00	3.0
BASSWOOD PARTNERS	267	COF	B	38,100	55.68	n/a	7-Feb	1,524.00	0.0
BUCK CAPITAL MGMT		COH	SS	50,000	49.05	n/a	4-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT (JMP)	029	COH	SS	10,000	49.34	n/a	4-Feb	400.00	4.0
⚡ BUCK CAPITAL MGMT		CRMB-P	S	2,500	3.00	n/a	n/a	non-brg	2.0
BRANDWINE	028	DAL	S	318,900	14.57	n/a	11-Feb	12,756.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	47.94	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		DECK	B	20,000	44.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	B	20,000	44.91	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	033	DSW	S	61,830	68.00	n/a	11-Feb	2,473.20	0.0
S.A.C. CAPITAL	044	EAT	B	30,000	33.05	n/a	28-Jan	900.00	3.0
⚡ BUCK CAPITAL MGMT		EL	B	20,000	62.61	n/a	6-Feb	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	ENR	S	5,000	88.51	n/a	4-Feb	200.00	4.0
f JONATHAN RICHARD HAR	FID	FBC	B	100	15.67	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FNP	B	300,000	17.28	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	18.64	n/a	8-Nov	400.00	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	135,000	26.80	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	B	15,000	27.16	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FRAN	B	20,000	26.35	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		FRAN	B	20,000	26.55	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	9047	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIL	B	15,000	35.19	n/a	7-Feb	non-brg	4.0
f MARK ANTHONY GRONET	FID	GLDD	S	3000	9.64	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	GLW	S	10000	12.61	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	GM	B	16,500	28.33	n/a	11-Feb	495.00	0.0
WEXFORD CAPITAL	284	GM	B	200,800	28.68	n/a	11-Feb	6,024.00	3.0
B BUCK CAPITAL MGMT		GNC	S	100,000	35.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	B	30,000	32.60	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	HBHC	S	7,700	31.23	n/a	n/a	308.00	0.0
B BUCK CAPITAL MGMT		HBI	S	30,000	40.32	n/a	6-Feb	non-brg	4.0
f MARK ANTHONY GRONET	FID	HBI	S	600	40.40	n/a	6-Feb	0.00	0.0
B BUCK CAPITAL MGMT		HCA	B	10,000	36.00	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HLF	S	1000	35.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HTZ	B	30,000	18.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ICON	C	48,787	24.68	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	091	JCI	B	3,000	31.05	n/a	22-Jan	120.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	JCI	SS	10,000	31.02	n/a	22-Jan	300.00	3.0
B BUCK CAPITAL MGMT		JNY	SS	30,000	12.07	n/a	4-Feb	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	COUGAR TRADING	044	JNY	B	5,000	12.05	n/a	4-Feb	250.00	5.0	
f	MARK MEGALLI	FID	JOEZ	S	15000	1.42	n/a	n/a	0.00	0.0	
f	IAN L MILLER	FID	JPM	S	50	49.17	n/a	7-Feb	0.00	0.0	
B	BUCK CAPITAL MGMT		KMT	B	12,000	41.12	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		KORS	B	100,000	63.29	n/a	12-Feb	non-brg	4.0	
f	MARC PAUL LUCHANSKY	FID	KO	B	100	37.79	n/a	12-Feb	0.00	0.0	
	BRONSON POINT	036	LEA	B	65,000	54.48	n/a	12-Feb	1,950.00	0.0	
f	MANNY I KORMAN	FID	LEA	B	2000	54.39	n/a	12-Feb	0.00	0.0	
	NOMURA/ANGEL LANE PRINCIPAL	040	LEA	B	20,000	54.61	n/a	12-Feb	600.00	3.0	
	ARSENAL ASSET MANAGEMENT	028	LII	B	5,000	59.15	n/a	n/a	200.00	0.0	
f	DAVID GEORGE BUCK	FID	LM	B	1500	27.90	n/a	2-Mar	0.00	0.0	
	DISCIPLINED GROWTH INV.	030	LTD	B	13,900	45.15	n/a	n/a	695.00	0.0	
f	MARC PAUL LUCHANSKY	FID	LUV	B	500	11.56	n/a	11-Feb	0.00	0.0	
	PALISADE CAPITAL MANAGEMENT LLC	025	MAPP	S	100,000	24.91		n/a	n/a	4,000.00	0.0
f	DAVID GEORGE BUCK	FID	MCK	B	100	104.52	n/a	n/a	0.00	0.0	
f	DAVID GEORGE BUCK	FID	MCK	B	400	104.91	n/a	n/a	0.00	0.0	
	BALYASNY ASSET MGMT	044	MGM	B	50,000	13.21	n/a	13-Jun	2,500.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMAS CAPITAL	040	MLM	B	5,000	97.67	n/a	n/a	150.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>MOH</b>	<b>B</b>	<b>10,000</b>	<b>31.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COLUMBUS CIRCLE	036	MYGN	S	3,577	24.54	n/a	n/a	143.08	0.0
S.A.C. CAPITAL	044	M	SS	25,000	40.14	n/a	8-Feb	750.00	3.0
TIDE POINT CAPITAL	028	NOC	SS	5,000	66.34	n/a	15-Jan	150.00	3.0
PROSPECTOR PARTNERS LLC	036	NRG	S	10,000	24.43	n/a	n/a	400.00	4.0
PLATTE RIVER CAPITAL	046	PC	B	80,000	7.51	n/a	n/a	3,200.00	0.0
CAERUS GLOBAL	041	PIR	B	29,871	22.64	n/a	n/a	1,194.84	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>RDN</b>	<b>B</b>	<b>50,000</b>	<b>6.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RDN</b>	<b>B</b>	<b>50,000</b>	<b>6.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>S</b>	<b>11,300</b>	<b>39.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>S</b>	<b>16,100</b>	<b>39.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>S</b>	<b>20,000</b>	<b>39.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RLGY</b>	<b>B</b>	<b>100,000</b>	<b>45.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>177.59</b>	<b>n/a</b>	<b>7-Feb</b>	<b>non-brg</b>	<b>4.0</b>
MACELLUM CAPITAL	086	RUE	B	19,000	28.50	n/a	n/a	570.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>20</b>	<b>4.54</b>	<b>n/a</b>	<b>28-Jan</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	SBUX	S	20	1.59	n/a	28-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		SCSS	B	22,000	22.32	n/a	n/a	non-brg	4.0
f	GAJANTHAN BALAKANES	FID	SDS	S	7	47.40	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SKX	S	30,000	19.35	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SSI	B	20,000	24.45	12-Feb	12-Feb	non-brg	4.0
	BERYLSON CAPITAL	030	STZ	B	15,800	31.35	n/a	1-Feb	474.00	3.0
	TIDE POINT CAPITAL	028	TEX	SS	1,000	34.85	n/a	n/a	30.00	3.0
B	BUCK CAPITAL MGMT		UA	B	10,000	50.19	n/a	6-Feb	non-brg	4.0
B	BUCK CAPITAL MGMT		ULTA	S	20,000	98.61	n/a	n/a	non-brg	4.0
	BALYASNY ASSET MGMT	044	URBN	B	20,000	42.15	n/a	n/a	1,000.00	0.0
B	BUCK CAPITAL MGMT		URBN	B	30,000	42.66	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	WAG	B	1000	41.78	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	WAG	B	200	41.79	n/a	n/a	0.00	0.0
	RIDGECREST INV MGMT LLC	028	WBC	B	3,500	68.67	12-Feb	12-Feb	140.00	4.0
	ARSENAL ASSET MANAGEMENT	028	WHR	B	5,000	110.07	n/a	n/a	200.00	0.0
f	DAVID GEORGE BUCK	FID	WLP	S	400	65.92	n/a	n/a	0.00	0.0
	BASSWOOD PARTNERS	267	XRX	B	58,000	7.98	n/a	n/a	2,320.00	0.0

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**TOTAL (Trade Date):**

**49,141.12**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/11	NEW JERSEY DIV OF INV.	030	MON	B	48,500	101.86	n/a	n/a	1940.00 4.0
AO,CXL	02/11	NEW JERSEY DIV OF INV.	030	MON	B	48,500	101.86	n/a	n/a	1455.00 3.0
AO,	02/11	COLUMBUS CIRCLE	036	MYGN	S	11,956	25.40	n/a	n/a	478.24 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>963.24</b>
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TOTAL (Trade Date) :	49,141.12
TOTAL (AO, CXL, CRT) :	963.24

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>50,104.36</b>
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### 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 12-Feb.

SSI, WBC

MRI Securities without Trade Activity on 12-Feb.

WMT, DLTR, PRGO

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)**