



Daily Compliance Activity Report

Trade Date: 12/26/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	50,000	19.79	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	40,000	20.13	n/a	2-Dec	non-brg	4.0
IAN L MILLER	FID	AML	S	100	15.96	n/a	n/a	0.00	0.0
WILLIAM WEINBERG	FID	APP	S	13300	0.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ATI	S	32,000	30.14	n/a	11-Dec	non-brg	4.0
PZENA INV ADV	044	AXS	B	850	34.45	n/a	n/a	29.75	0.0
BUCK CAPITAL MGMT		BAC	S	87,000	11.56	n/a	20-Dec	non-brg	1.0
BARBARA S LEDDY	FID	BONT	S	1750	10.90	n/a	n/a	0.00	0.0
THOMAS MACTAGGART LE	FID	BONT	S	900	10.85	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	CERN	S	20	1.87	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	098	CHD	B	9,875	53.60	n/a	5-Dec	493.75	0.0
BUCK CAPITAL MGMT		CLD	S	50,000	19.28	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COH	B	18,000	54.32	n/a	5-Nov	non-brg	4.0
BUCK CAPITAL MGMT		COH	S	60,000	56.09	n/a	5-Nov	non-brg	4.0
FRANCIS MICHAEL MCCA	FID	CRDB	B	400	7.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DG	S	50,000	43.05	n/a	12-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		DKS	B	10,000	44.46	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FDO	B	8,000	62.51	n/a	26-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	B	27,000	18.59	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	B	28,000	18.53	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	15,000	32.23	n/a	21-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	20,000	32.29	n/a	21-Dec	non-brg	4.0
PZENA INV ADV	044	FNF	S	2,925	23.76	n/a	n/a	102.38	0.0
ß BUCK CAPITAL MGMT		GCO	B	10,000	52.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	8,015	32.89	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIL	B	10,000	35.58	n/a	30-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	15,000	35.37	n/a	30-Nov	non-brg	4.0
f WILLIAM WEINBERG	FID	HWD	S	5000	13.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IWF	C	125,000	65.43	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWF	C	125,000	65.43	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	40,000	95.05	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWO	C	85,000	94.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	85,000	94.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JWN	S	77,000	51.20	n/a	30-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KORS	B	10,000	50.14	n/a	14-Nov	non-brg	4.0
f DAVID GEORGE BUCK	FID	KORS	S	1000	50.08	n/a	14-Nov	0.00	0.0
B BUCK CAPITAL MGMT		KSS	SS	30,000	42.52	n/a	30-Nov	non-brg	4.0
SCOPUS FUND	041	KSS	SS	18,175	42.70	n/a	30-Nov	727.00	0.0
MACELLUM CAPITAL	086	LF	B	129,300	7.98	n/a	n/a	3,879.00	3.0
PZENA INV ADV	044	LH	B	4,375	86.51	n/a	n/a	153.13	0.0
f FRANCIS MICHAEL MCCA	FID	LVS	B	200	45.91	n/a	13-Jun	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	MINI	S	300	20.54	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	MSFT	S	20,000	27.04	n/a	n/a	800.00	0.0
B BUCK CAPITAL MGMT		M	B	20,000	36.60	n/a	30-Nov	non-brg	4.0
f MICHAEL C PERILLO	FID	OSGIQ	S	325	0.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	B	11,000	43.69	n/a	27-Nov	non-brg	4.0
ROARING BLUE LION MGMT	031	PLCE	B	15,000	44.12	n/a	27-Nov	600.00	4.0
B BUCK CAPITAL MGMT		RLGY	S	20,000	41.80	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RL	C	20,000	146.14	n/a	5-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		RL	SS	20,000	148.77	n/a	5-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		SHLD	S	120,000	39.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SIG	S	55,000	53.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKX	S	10,000	18.05	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	SPY	S	10	0.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SQBG-P	B	1,333,333	4.50	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		SQBG-P	B	1,333,333	4.50	n/a	n/a	non-brg	0.0
BARBARA S LEDDY	FID	TBT	S	50	62.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		TIF	B	17,500	56.86	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ULTA	S	20,000	95.98	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	URBN	B	1,032	38.18	n/a	n/a	41.28	0.0
IAN L MILLER	FID	VXX	S	25	32.56	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL	070	WMT	SS	2,400	67.95	n/a	15-Nov	96.00	0.0
BUCK CAPITAL MGMT		XLY	SS	170,000	47.25	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		XLY	SS	170,000	47.25	n/a	n/a	non-brg	1.0
BARBARA S LEDDY	FID	XPO	S	550	16.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		XRT	SS	130,000	61.94	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		XRT	SS	130,000	61.94	n/a	n/a	non-brg	1.0

TOTAL (Trade Date):

6,922.29

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/21	PATTEN & PATTEN	025	AXP	B	350	57.35	n/a	20-Dec	17.50 5.0
AO,CRT	12/21	PATTEN & PATTEN	025	AXP	B	350	57.35	n/a	20-Dec	17.50 5.0
AO,CRT	12/21	WOOSTER CAPITAL	035	GM	B	50,000	27.24	n/a	24-Dec	2500.00 5.0
AO,CXL	12/21	WOOSTER CAPITAL	035	GM	B	50,000	27.24	n/a	24-Dec	2000.00 4.0
TOTAL (AO, CXL, CRT) :										500.00

TOTAL (Trade Date) :	6,922.29
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS :	7,422.29
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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 26-Dec.
NONE

MRI Securities without Trade Activity on 26-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)