



# Daily Compliance Activity Report

Trade Date: 08/23/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
YORK CAPITAL	036	AAMRQ	S	300,000	3.11	n/a	n/a	6,000.00	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AB</b>	<b>B</b>	<b>3000</b>	<b>19.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>ADSK</b>	<b>S</b>	<b>500</b>	<b>40.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT) 251	ADT		B	5,000	41.28		n/a	150.00	3.0
PATTEN & PATTEN	025	ADT	S	25	41.28	n/a	n/a	1.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>83,000</b>	<b>14.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	AIG	B	200	47.34	n/a	n/a	10.00	5.0
LONG OAR GLOBAL INV	040	AKS	B	50,000	3.57	n/a	n/a	2,000.00	4.0
FRED ALGER MGMT	070	AMCX	S	27,532	64.69	n/a	n/a	991.15	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>B</b>	<b>10</b>	<b>11.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT) 251	ARCP		S	30,000	13.44		n/a	900.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BEN</b>	<b>B</b>	<b>1000</b>	<b>47.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERYLSON CAPITAL	030	BONT	B	166,630	12.47	23-Aug	22-Aug	4,998.90	3.0
PATTEN & PATTEN	025	BRCM	S	300	25.21	n/a	n/a	15.00	5.0
COHE & STEERS	041	BRE	S	4,660	49.82	n/a	n/a	186.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CACH</b>	<b>B</b>	<b>2000</b>	<b>4.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EDGEWOOD	085	CMG	S	40,000	403.34	n/a	n/a	2,000.00	5.0
PATTEN & PATTEN	025	CSD	B	390	38.94	n/a	n/a	19.50	5.0
BRIGADE CAPITAL MGMT	029	CWH	S	25,000	25.09	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	DBA	S	500	24.91	n/a	n/a	25.00	5.0
ARDSLEY PARTNERS	280	DE	SS	5,000	82.77	n/a	n/a	250.00	5.0
WALL STREET CAPITAL	084	DISCA	S	3,104	80.66	n/a	n/a	139.68	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>10,000</b>	<b>46.25</b>	<b>21-Aug</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>10,000</b>	<b>46.25</b>	<b>21-Aug</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>11,000</b>	<b>45.88</b>	<b>21-Aug</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>20,000</b>	<b>45.89</b>	<b>21-Aug</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>20,000</b>	<b>45.89</b>	<b>21-Aug</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>DLTR</b>	<b>S</b>	<b>200</b>	<b>53.39</b>	<b>n/a</b>	<b>23-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>DTV</b>	<b>B</b>	<b>255</b>	<b>58.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	DVR	S	39,817	2.05	n/a	n/a	796.34	2.0
TYVOR CAPITAL LLC	031	EXPR	B	40,000	19.38	n/a	n/a	1,200.00	3.0
NEUBERGER BERMAN	036	FFIN	B	6,400	60.19	n/a	n/a	256.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		FL 11 C37	C	500	0.34	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		FL	B	15,000	33.23	n/a	23-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	20,000	33.18	n/a	23-Aug	non-brg	4.0
ROARING BLUE LION MGMT	031	FL	B	26,100	33.09	n/a	23-Aug	1,044.00	4.0
⌘ BUCK CAPITAL MGMT		FOR	S	37,500	20.26	n/a	8-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	200	69.53	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	43,700	69.94	n/a	n/a	non-brg	4.0
TYVOR CAPITAL LLC	031	GPS	S	60,000	41.64	n/a	n/a	1,800.00	3.0
ARDSLEY PARTNERS	280	GRA	SS	5,000	79.91	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	IBM	S	50	185.10	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	IEV	B	350	42.77	n/a	n/a	17.50	5.0
ARDSLEY PARTNERS	280	IWM	C	25,000	103.07	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	IXN	S	170	73.37	n/a	n/a	8.50	5.0
⌘ BUCK CAPITAL MGMT		JCP	S	195,000	13.21	21-Aug	20-Aug	non-brg	4.0
PATTEN & PATTEN	025	KMI	S	376	37.02	n/a	n/a	18.80	5.0
PATTEN & PATTEN	025	KRE	B	150	36.88	n/a	n/a	7.50	5.0
⌘ BUCK CAPITAL MGMT		LEN	B	15,000	32.78	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>LPX</b>	<b>B</b>	<b>33,600</b>	<b>15.00</b>	<b>n/a</b>	<b>21-Aug</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	14.99	n/a	21-Aug	5,000.00	5.0
DC CAPITAL	044	LPX	B	50,000	14.87	n/a	21-Aug	1,500.00	3.0
BRONSON POINT	036	MDLZ	B	75,000	31.28	n/a	n/a	2,250.00	3.0
MATRIX ASSET ADV.	091	MET	S	1,500	48.40	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	MOS	B	200	41.86	n/a	n/a	10.00	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	30,000	36.39	n/a	30-Jul	1,500.00	5.0
PATTEN & PATTEN	025	MWV	B	300	36.36	n/a	30-Jul	15.00	5.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>ONNN</b>	<b>B</b>	<b>2000</b>	<b>7.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KINGDON ASSET MGMT	041	ORCL	S	100,000	31.90	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	QQQ	B	150	76.60	n/a	n/a	7.50	5.0
MACELLUM CAPITAL	086	ROST	B	20,000	69.46	23-Aug	7-Aug	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>21,800</b>	<b>23.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	SEE	B	40,070	29.16	n/a	n/a	2,003.50	5.0
ARDSLEY PARTNERS	280	SHW	SS	2,500	172.02	n/a	n/a	125.00	5.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>SLGPRI</b>	<b>B</b>	<b>1000</b>	<b>22.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARDSLEY PARTNERS	280	SRE	B	5,000	84.13	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	TIBX	B	4,400	22.78		n/a	n/a	132.00	3.0
FOCUSED INVESTORS	084	TPC	S	54	19.20	n/a	n/a	2.16	4.0	
LOMBARDIA CAP MGMT	084	TPC	S	17,769	19.20	n/a	n/a	710.76	4.0	
WALL STREET CAPITAL	084	TSCO	S	2,002	121.12	n/a	n/a	90.09	5.0	
FRED ALGER MGMT	070	TYC	B	55,000	34.17	n/a	n/a	1,980.00	4.0	
HIGHFIELDS CAP MGMT	030	T	C	200,000	34.13	n/a	n/a	8,000.00	4.0	
NEUBERGER BERMAN	036	VPFG	B	6,371	21.07	n/a	n/a	254.84	4.0	
PATTEN & PATTEN	025	WAG	B	100	48.67	n/a	n/a	5.00	5.0	
WALL STREET CAPITAL	084	WFM	S	9,254	52.93	n/a	n/a	416.43	5.0	
LATEEF MGMT	033	XOM	B	200	87.36	n/a	n/a	40.00	20.0	
TOTAL (Trade Date):								53,540.30		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	08/22	MAPLE LANE CAPITAL	040	DLTR	B	25,000	51.65	n/a-2013-08-23	1000.00 0.0
AO,CXL	08/22	MAPLE LANE CAPITAL	040	DLTR	B	25,000	51.65	n/a-2013-08-23	1250.00 0.0
AO,CRT	08/22	LISTED ERR	099	DTV	S	255	58.22	n/a n/a	0.00 0.0
AO,CXL	08/22	LISTED ERR	099	DTV	S	255	58.09	n/a n/a	0.00 0.0
AO,CRT	08/22	KEY ASSET MGMT/VICTORY	220	DTV	B	50	58.09	n/a n/a	2.00 0.0
AO,CXL	08/22	KEY ASSET MGMT/VICTORY	220	DTV	B	50	58.09	n/a n/a	2.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-250.00</b>
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TOTAL (Trade Date) :	53,540.30
TOTAL (AO, CXL, CRT) :	-250.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>53,290.30</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 23-Aug.

BONT, ROST

MRI Securities without Trade Activity on 23-Aug.

SSI

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)**