



# Daily Compliance Activity Report

Trade Date: 10/07/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AFFX	B	5,331	6.38	n/a	n/a	159.93	3.0
STRONG/MARK GRONET	030	ALK	S	15,000	64.93	n/a	30-Sep	600.00	4.0
STRONG/MARK GRONET	030	AMED	S	20,000	17.73	n/a	n/a	800.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>B</b>	<b>20</b>	<b>5.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>10</b>	<b>20.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BAX</b>	<b>B</b>	<b>500</b>	<b>64.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>BAX</b>	<b>B</b>	<b>100</b>	<b>65.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	070	BBY	B	143,375	37.29	n/a	n/a	4,301.25	3.0
SIMMONS VENTURES	041	BODY	S	24,000	5.42	n/a	n/a	1,200.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BURL</b>	<b>SS</b>	<b>10,000</b>	<b>26.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LONG POND	029	CBG	B	50,000	22.55	n/a	n/a	2,000.00	4.0
PRIMECAP MGMT	084	CMA	B	5,000	38.83	n/a	n/a	200.00	4.0
TYVOR CAPITAL LLC	031	COST	SS	11,453	114.03	n/a	n/a	343.59	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>50,000</b>	<b>1.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
CORTEX CAPITAL	031	DVN	S	50,000	58.47	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COHE & STEERS	041	ESRT	B	62,355	13.22	n/a	n/a	1,870.65	3.0
FRED ALGER MGMT	300	ESRX	B	29,650	62.54	n/a	n/a	1,067.40	4.0
<b>f GERALD EPHRAM COHEN</b>	<b>FID</b>	<b>ESSX</b>	<b>B</b>	<b>2000</b>	<b>3.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOMAS CAPITAL	040	FL	S	18,669	33.10	n/a	2-Oct	560.07	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FNP</b>	<b>S</b>	<b>20,000</b>	<b>25.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FNP</b>	<b>S</b>	<b>50,000</b>	<b>24.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OSKIE CAPITAL MGMT	224	F	S	100,000	16.91	n/a	7-Oct	5,000.00	5.0
BADGE CAPITAL	030	GES	B	1,000	29.33	n/a	n/a	30.00	3.0
NOKOMIS PARTNERS	031	HCOM	S	500	26.95	n/a	n/a	15.00	3.0
ARDSLEY PARTNERS	280	HD	SS	10,000	75.47	n/a	n/a	500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HRC</b>	<b>B</b>	<b>1000</b>	<b>36.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	033	HXL	B	26,530	39.13	n/a	n/a	1,061.20	4.0
BTIG/MONT PELERIN	084	JAZZ	B	7,500	89.12	n/a	n/a	300.00	4.0
PAULSON & CO INC	041	JAZZ	S	75,000	88.94	n/a	n/a	2,250.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>JAZZ</b>	<b>B</b>	<b>600</b>	<b>90.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>JAZZ</b>	<b>SS</b>	<b>600</b>	<b>90.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU 10 C7</b>	<b>B</b>	<b>5,000</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LONG POND	029	JLL	B	25,000	84.22	n/a	n/a	1,000.00	4.0
TYVOR CAPITAL LLC	031	JWN	SS	5,000	56.69	n/a	4-Oct	150.00	3.0
LISTED ERR	099	JWN	B	5,000	56.64	n/a	4-Oct	0.00	0.0
LISTED ERR	099	JWN	SS	5,000	56.67	n/a	4-Oct	0.00	0.0
PRIMECAP MGMT	084	LLY	B	3,100	47.80	n/a	n/a	124.00	4.0
ARDSLEY PARTNERS	280	LPX	S	30,000	17.54	n/a	4-Oct	1,500.00	5.0
TIDE POINT CAPITAL	028	LPX	B	60,000	17.69	n/a	4-Oct	1,800.00	3.0
PARKWEST	084	LRN	B	50,000	29.05	n/a	n/a	2,000.00	4.0
TIDE POINT CAPITAL	028	MGA	B	25,000	85.00	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	100,000	303.56	n/a	n/a	non-brg	24.3
T. ROWE PRICE	243	NFLX	S	85,000	319.42	n/a	n/a	3,400.00	4.0
f DAVID GEORGE BUCK	FID	NLY	B	2000	11.51	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	NNP	S	13056	13.48	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NNP	S	1933	13.59	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	PAG	B	5,000	42.29	n/a	4-Oct	200.00	4.0
B BUCK CAPITAL MGMT		PII	B	10,000	130.83	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	033	ROSE	S	50,720	57.03	n/a	n/a	2,028.80	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	RYN	B	2000	55.50	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	RYN	B	300	55.61	n/a	n/a	0.00	0.0
	NEWLAND CAPITAL MGT	025	SAH	SS	5,000	23.88	n/a	n/a	200.00	4.0
	ARDSLEY PARTNERS	280	SLXP	B	10,000	71.10	n/a	3-Oct	500.00	5.0
	TUDOR INVESTORS	028	ST	S	5,000	38.94	n/a	n/a	150.00	3.0
	TYVOR CAPITAL LLC	031	SWY	S	3,200	31.71	n/a	n/a	96.00	3.0
	PRIMECAP MGMT	084	SYMC	S	13,000	25.08	n/a	n/a	520.00	4.0
	TUDOR INVESTORS	028	TRW	B	5,000	72.93	n/a	n/a	150.00	3.0
	WOOSTER CAPITAL	044	TRW	B	10,000	72.84	n/a	n/a	500.00	5.0
	WADDELL AND REED	047	TXN	B	559,080	39.90	n/a	n/a	22,363.20	4.0
	T. ROWE PRICE	243	UNP	S	80,110	153.35	n/a	4-Oct	3,204.40	4.0
	LONG OAR GLOBAL INV	040	URI	B	12,000	58.47	n/a	n/a	480.00	4.0
	MFP INVESTORS	085	VNO	B	3,000	83.70	n/a	n/a	150.00	5.0
	PRIMECAP MGMT	084	WFC	B	10,000	40.75	n/a	2-Oct	400.00	4.0
B	BUCK CAPITAL MGMT		WGO	S	18,800	26.60	n/a	n/a	non-brg	4.0
	HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	32,400	26.61	n/a	n/a	972.00	3.0
Õ	Nilsa Vazquez		WWW	B	200	57.78	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARDSLEY PARTNERS	280	WY	S	30,000	28.32	n/a	4-Oct	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	XLP	SS	15,000	39.59	n/a	n/a	450.00	3.0
CASTLEROCK	040	YUM	SS	5,000	71.38	9-Sep	9-Sep	200.00	4.0
KEY ASSET MGMT/VICTORY	220	ZMH	B	113,750	83.31	n/a	n/a	4,550.00	4.0
<b>TOTAL (Trade Date):</b>								<b>73,097.49</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/04	LATEEF MGMT	033	CVS	B	600	56.90	n/a	n/a	60.00	0.0
AO,CRT	10/04	LATEEF MGMT	033	CVS	B	600	56.90	n/a	n/a	60.00	0.0
AO,CXL	10/04	LATEEF MGMT	033	TRV	S	500	84.42	n/a	n/a	60.00	0.0
AO,CRT	10/04	LATEEF MGMT	033	TRV	S	500	84.42	n/a	n/a	60.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	73,097.49
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>73,097.49</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 7-Oct.  
NONE

MRI Securities without Trade Activity on 7-Oct.  
KO

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)**