



Daily Compliance Activity Report

Trade Date: 10/10/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL7	S	10	75.66	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL7	S	40	75.61	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL7	S	5	75.60	n/a	n/a	0.00	0.0
LATEEF MGMT	033	AA	S	1,000	8.36	n/a	n/a	70.00	7.0
PIMCO	084	AEO	B	75,000	13.49	n/a	n/a	1,500.00	2.0
LEVIN CAPITAL STRATEGIES	041	AGN	B	5,000	89.93	n/a	27-Sep	150.00	3.0
B BUCK CAPITAL MGMT		APC	S	10,800	93.24	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	287	APD	B	25,000	105.93	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		AR	B	1,000	44.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		AR	S	1,000	54.15	n/a	n/a	non-brg	2.5
CR INTRINIC INVESTMENT	044	AXL	B	30,000	18.60	n/a	18-Sep	900.00	3.0
B BUCK CAPITAL MGMT		BBY	B	20,000	38.81	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BLMN	B	20,000	21.69	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC	040	BLMN	SS	47,300	21.70	n/a	n/a	1,419.00	3.0
SANDLER CAPITAL	028	CAH	B	185,000	54.47	n/a	n/a	9,250.00	5.0
CASTLEROCK	040	CAKE	SS	13,194	43.03	n/a	n/a	527.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	CAKE	B	20,000	42.82	n/a	n/a	800.00	4.0
OZ MGMT	040	CAKE	SS	75,000	42.85	n/a	n/a	2,250.00	3.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	255,557	2.66	n/a	n/a	5,111.14	2.0
CRAMER ROSENTHAL	070	CBG	S	217,375	22.75	n/a	n/a	8,695.00	4.0
LONG POND	029	CBG	B	125,000	22.75	n/a	n/a	5,000.00	4.0
KEYGROUP/KGLT	040	CHK	SS	25,000	26.37	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		CPB	C	25,000	40.60	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CPB	C	25,000	40.60	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CPB	C	25,000	40.92	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CPB	C	35,900	40.93	n/a	n/a	non-brg	2.5
WHITE PINE CAPITAL	030	CUB	S	9,800	50.48	n/a	n/a	490.00	5.0
TUDOR INVESTORS	028	DE	SS	5,000	82.59	n/a	n/a	150.00	3.0
BRONSON POINT	036	DIS	S	100,000	64.74	n/a	n/a	3,000.00	3.0
BMO / M&I FUNDS	047	DKS	S	4,816	52.15	n/a	10-Oct	192.64	4.0
ADAGE CAPITAL MGMT	030	DRC	B	15,000	60.33	n/a	n/a	450.00	3.0
SENATOR INVESTMENT GROUP	287	DRC	SS	67,300	60.53	n/a	n/a	2,019.00	3.0
⚡ BUCK CAPITAL MGMT		DVN	S	16,800	59.76	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	ENR	B	150	93.20	n/a	9-Oct	37.50	25.0
⚡ BUCK CAPITAL MGMT		EXPR	B	20,000	22.32	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	FL	B	115,200	33.04	n/a	10-Oct	4,608.00	4.0
f MICHAEL ALEXANDER SM	FID	FNPIX	B	1791	11.17	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FNPIX	B	2238	11.17	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	FOSL	S	6,455	117.40	n/a	n/a	232.38	4.0
S.A.C. CAPITAL	044	FOSL	S	37,887	117.79	n/a	n/a	1,136.61	3.0
T. ROWE PRICE	243	FOSL	B	128,650	118.23	n/a	n/a	5,146.00	4.0
B BUCK CAPITAL MGMT		FWM	B	2,200	23.27	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	FXCM	B	28,020	17.82	n/a	n/a	1,008.72	4.0
B BUCK CAPITAL MGMT		GCO	B	10,000	66.21	n/a	n/a	non-brg	4.0
CORTEX CAPITAL	031	GES	B	25,000	29.52	n/a	n/a	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	B	30,000	34.75	n/a	10-Oct	900.00	3.0
WAGONHOUND/NICOLAS	033	GM	C	44,290	34.76	n/a	10-Oct	1,771.60	4.0
B BUCK CAPITAL MGMT		GPS	S	125,000	37.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HDS	B	20,000	21.06	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	HON	S	5,000	83.21	n/a	10-Sep	150.00	3.0
MADISON ST PARTNERS LLC	046	HPQ	B	50,000	22.40	n/a	n/a	2,500.00	5.0
VISIUM/BALY BOBBY	044	HUBG	S	25,000	35.08	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FEDERATED INV/KAUFMAN	029	IPGP	S	30,000	61.23	n/a	n/a	1,500.00	5.0
RIDGECREST INV MGMT LLC	028	IP	B	15,000	43.71	n/a	18-Sep	600.00	4.0
TUDOR INVESTORS	028	IP	S	5,000	43.57	n/a	18-Sep	150.00	3.0
TUDOR INVESTORS	028	IYR	B	10,000	63.98	n/a	n/a	300.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040 JBLU	S	8,600	6.72	n/a	30-Sep	344.00	4.0
B BUCK CAPITAL MGMT		KMT	S	20,000	44.24	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	LEA	S	3,000	71.71	n/a	18-Sep	90.00	3.0
GRUBER MACBAINE	033	LPX	B	40,000	17.41	n/a	9-Oct	1,600.00	4.0
TIDE POINT CAPITAL	028	LPX	B	5,000	17.39	n/a	9-Oct	150.00	3.0
B BUCK CAPITAL MGMT		LTD	SS	15,000	56.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	SS	30,000	56.64	n/a	n/a	non-brg	4.0
ESSENCIAL CAPITAL	031	LUV	B	20,000	15.03	n/a	8-Oct	600.00	3.0
B BUCK CAPITAL MGMT		MGNX	S	1,000	24.00	n/a	n/a	non-brg	2.5
INTERVAL PARTNERS	033	MTW	SS	25,000	18.87	n/a	n/a	750.00	3.0
BMO / M&I FUNDS	047	M	S	5,987	42.98	30-Sep	30-Sep	239.48	4.0
LATEEF MGMT	033	OLN	B	350	22.49	n/a	n/a	35.00	10.0
PENNANT CAP MGMT	250	OXY	S	50,000	94.57	n/a	n/a	1,000.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INTERVAL PARTNERS	033	PETM	SS	5,000	72.69	n/a	n/a	150.00	3.0
S.A.C. CAPITAL	044	PFE	B	100,000	28.53	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		PII	B	20,000	128.80	n/a	n/a	non-brg	4.0
f JOHN FRANCIS MCERLEA	FID	PSUN	B	2500	2.80	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	PTEN	B	50,000	22.67	n/a	n/a	2,500.00	5.0
f EDWARD W WHEELER	FID	RBC	S	5000	70.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RH	B	15,000	61.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RH	B	15,000	61.22	n/a	n/a	non-brg	4.0
TIEDEMANN/TIG ADVISORS LLC006		RUE	B	24,990	42.00	n/a	n/a	749.70	3.0
B BUCK CAPITAL MGMT		SBUX	B	20,000	76.84	30-Sep	30-Sep	non-brg	4.0
SPARTAN	093	SGI	S	4,352	13.93	n/a	n/a	130.56	3.0
B BUCK CAPITAL MGMT		SIG	B	20,000	70.63	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SLB	B	30	0.86	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SLB	S	30	5.08	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ST	S	10,000	38.75	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	SWFT	B	10,000	19.66	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SWN	S	27,900	35.60	n/a	n/a	non-brg	4.0
f DAEIL CHA	FID	S	S	50	5.95	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TKR	S	5,000	58.76	n/a	n/a	150.00	3.0
JET CAPITAL/CHRIS	041	TWC	B	32,200	114.52	n/a	n/a	966.00	3.0
BMO / M&I FUNDS	047	URBN	S	6,912	36.03	n/a	n/a	276.48	4.0
TUDOR INVESTORS	028	UTX	SS	5,000	104.74	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	WBC	S	9,000	84.18	17-Sep	27-Sep	121.50	1.5
INTERVAL PARTNERS	033	WEN	SS	50,000	8.25	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		WGO	S	12,700	26.68	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC	040	WTW	S	64,900	39.21	n/a	n/a	1,947.00	3.0
TIDE POINT CAPITAL	028	WY	B	5,000	28.68	n/a	9-Oct	150.00	3.0
TUDOR INVESTORS	028	WY	S	15,000	28.66	n/a	9-Oct	450.00	3.0
f DOUGLAS R ROGERS	FID		B	8000	87.57	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								83,415.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/09	GLG PARTNERS	280	AMRN	S	18,470	6.30	n/a	n/a	923.50 0.0
AO,CRT	10/09	GLG PARTNERS	280	AMRN	S	30,000	6.30	n/a	n/a	900.00 0.0
AO,CXL	10/09	GLG PARTNERS	028	AMRN	S	11,530	6.30	n/a	n/a	576.50 0.0
AO,CRT	10/09	FIRST NEW YORK	086	RAD	S	40,000	4.86	n/a	n/a	1600.00 0.0
AO,CXL	10/09	FIRST NEW YORK	086	RAD	S	40,000	4.86	n/a	n/a	2000.00 0.0

TOTAL (AO, CXL, CRT) :	-1,000.00
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TOTAL (Trade Date) :	83,415.07
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS:	82,415.07
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/09	BUCK CAPITAL MGMT	MGNX	B	1,000	16.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 10-Oct.
NONE

MRI Securities without Trade Activity on 10-Oct.
CRS

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)