



# Daily Compliance Activity Report

Trade Date: 09/27/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	15,000	33.21	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	APA	S	125	86.77	n/a	n/a	6.25	5.0
CORTEX CAPITAL	031	APC	S	10,000	93.95	n/a	n/a	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>SS</b>	<b>20,000</b>	<b>20.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
J. GOLDMAN	028	AVY	B	21,000	43.55	n/a	n/a	840.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>10,000</b>	<b>77.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>B</b>	<b>50,000</b>	<b>23.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CERN</b>	<b>SS</b>	<b>19,000</b>	<b>53.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>C</b>	<b>20,700</b>	<b>16.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MACELLUM CAPITAL	086	CONN	B	12,550	50.96	n/a	n/a	376.50	3.0
MACELLUM CAPITAL	086	DECK	B	8,000	65.24	n/a	n/a	240.00	3.0
FRED ALGER MGMT	300	DG	S	43,915	56.59	5-Sep	17-Sep	1,580.94	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		DORM			S 28,554	49.77	n/a	n/a	856.62 3.0
<b>B BUCK CAPITAL MGMT</b>		<b>EBAY</b>	<b>S</b>	<b>20,000</b>	<b>56.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL WORLD	084	EBAY	B	180,000	55.87	n/a	n/a	6,300.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	ELN		S	50,000	15.60	n/a	n/a	1,500.00 3.0
BESSEMER INVESTMENT	085	EMC	B	201,200	26.10	n/a	n/a	6,036.00	3.0
<b>B</b> BUCK CAPITAL MGMT		FINL	S	41,700	24.12	n/a	27-Sep	non-brg	4.0
CAMBIAR CAP	046	FINL	S	101,850	24.16	n/a	27-Sep	4,074.00	4.0
PECONIC PARTNERS	036	F	SS	500,000	17.10	n/a	19-Sep	25,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		GCO	B	20,000	64.62	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	GE	B	218,300	24.04	n/a	n/a	6,549.00	3.0
ROSEDALE CAPITAL	046	GM	B	30,000	36.47	n/a	25-Sep	1,200.00	4.0
<b>f</b> CHRISTOPHER ROBERT C	FID	GSVC	B	100	14.88	n/a	n/a	0.00	0.0
<b>f</b> HARALAMBOS EFSTATHI	FID	GSVC	B	800	14.85	n/a	n/a	0.00	0.0
<b>f</b> MARC PAUL LUCHANSKY	FID	GSVC	B	200	14.87	n/a	n/a	0.00	0.0
<b>f</b> MARK ANTHONY GRONET	FID	GSVC	B	1000	14.81	n/a	n/a	0.00	0.0
<b>f</b> MARK ANTHONY GRONET	FID	GSVC	B	1000	14.83	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	GT		S	50,000	22.50	n/a	n/a	2,500.00 5.0
CORTEX CAPITAL	031	GWR	SS	12,000	93.48	n/a	n/a	360.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	HLS		S	39,427	34.46	n/a	n/a	1,182.81 3.0
PRIMECAP MGMT	084	HTZ	B	2,000	21.42	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOCUSED INVESTORS	084	IBM	B	52,300	186.73	n/a	n/a	2,092.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>S</b>	<b>372,600</b>	<b>9.46</b>	<b>27-Sep</b>	<b>27-Sep</b>	<b>non-brg</b>	<b>3.0</b>
DC CAPITAL	044	JCP	B	50,000	8.97	27-Sep	27-Sep	1,500.00	3.0
LAGRANGE CAP ADV	087	JCP	B	150,000	9.50	27-Sep	27-Sep	3,000.00	2.0
SCOPUS FUND	041	JCP	B	100,000	9.53	27-Sep	27-Sep	4,000.00	4.0
SMITH MGMT/ALDEN GLOBAL		029 JCP	B	454,500	9.78	27-Sep	27-Sep	13,635.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>JCP</b>	<b>B</b>	<b>374,700</b>	<b>9.75</b>	<b>27-Sep</b>	<b>27-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>JCP</b>	<b>S</b>	<b>374,700</b>	<b>9.57</b>	<b>27-Sep</b>	<b>27-Sep</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL RESEARCH GROUP		296 KMB	S	100,000	94.71		n/a 11-Sep	3,500.00	4.0
MACELLUM CAPITAL	086	KSS	SS	40,000	52.03	n/a	27-Sep	1,200.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	35,000	17.34	n/a	27-Sep	1,750.00	5.0
PROSPECTOR PARTNERS LLC	036	MET	B	18,100	47.35	n/a	n/a	724.00	4.0
PROSPECTOR PARTNERS LLC	036	MNST	B	6,000	53.12	n/a	n/a	240.00	4.0
SLS CAPITAL LLC	006	MSFT	B	53,424	33.36	n/a	n/a	2,671.20	5.0
PROSPECTOR PARTNERS LLC	036	MUSA	S	3,300	41.09	n/a	n/a	132.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>40,000</b>	<b>43.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	NKTR	B	15,000	10.90	n/a	n/a	600.00	4.0
PROSPECTOR PARTNERS LLC	036	NOC	B	5,000	95.84	n/a	6-Sep	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	250	OXY	S	30,000	94.30	n/a	n/a	600.00	2.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	20,000	47.10	n/a	27-Sep	1,000.00	5.0
SCOPUS FUND	041	PCL	B	25,000	47.14	n/a	27-Sep	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>118.19</b>	<b>n/a</b>	<b>11-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>118.19</b>	<b>n/a</b>	<b>11-Sep</b>	<b>non-brg</b>	<b>4.0</b>
TYVOR CAPITAL LLC	031	RAD	S	50,000	4.71	n/a	n/a	500.00	1.0
<b>B BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>B</b>	<b>20,000</b>	<b>66.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	RIG	B	15,000	44.92	n/a	n/a	600.00	4.0
DAVIDSON KEMPNER ADVISOR	281	RL	B	13,595	165.01	n/a	23-Sep	679.75	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RNG</b>	<b>B</b>	<b>500</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RNG</b>	<b>S</b>	<b>500</b>	<b>18.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
PIMCO	084	SAVE	S	90,000	34.26	n/a	26-Sep	1,800.00	2.0
PATTEN & PATTEN	025	SIRO	B	600	67.02	n/a	n/a	30.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>10</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
INTERVAL PARTNERS	033	TGT	SS	5,000	64.26	n/a	n/a	150.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TLM	B	50,000	11.49		n/a n/a	1,500.00	3.0
SYMPHONY ASSET	033	URBN	B	27,580	37.17	n/a	n/a	827.40	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		VMEM	B	1,000	9.00	n/a	n/a	non-brg	0.0
Ⓐ BUCK CAPITAL MGMT		VMEM	S	1,000	7.43	n/a	n/a	non-brg	2.5
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	17,600	11.55	n/a	24-Sep	528.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	28.79	n/a	27-Sep	500.00	5.0
f DAVID GEORGE BUCK	FID	XON	S	1520	12.75	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							104,541.47		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/26	OSTERWEIS CAPITAL	084	VIAB	S	18,320	83.50	n/a	n/a	916.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-916.00</b>

TOTAL (Trade Date):	104,541.47
TOTAL (AO, CXL, CRT):	-916.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>103,625.47</b>
--------------------------------	-------------------

# BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 27-Sep.

JCP

MRI Securities without Trade Activity on 27-Sep.

NKE, UAL

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)**