



# Daily Compliance Activity Report

Trade Date: 08/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	ALL	B	7,070	49.32	n/a	n/a	282.80	4.0
SHEFFIELD ASSET MGMT	031	ARO	B	45,000	12.46	n/a	n/a	1,350.00	3.0
HARVEST MGMT (JMP)	029	ATVI	SS	10,000	17.22	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	AXL	B	30,000	19.79	5-Aug	2-Aug	1,200.00	4.0
SCOPUS FUND	041	AXL	B	50,000	19.71	5-Aug	2-Aug	2,000.00	4.0
MOORE CAPITAL	257	BAC	S	100,000	14.35	17-Jul	14-Aug	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BCC</b>	<b>B</b>	<b>10,000</b>	<b>23.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>BIG</b>	<b>S</b>	<b>100</b>	<b>35.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	BP	S	200	41.27	n/a	n/a	10.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>B</b>	<b>18,000</b>	<b>28.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	COG	S	11,015	37.00	n/a	n/a	440.60	4.0
LAKEWOOD CAPITAL MGMT	085	COLE	S	20,000	11.28	n/a	n/a	600.00	3.0
TALON ASSET MGMT.	006	CRM	S	2,500	43.75	n/a	n/a	125.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CTRN</b>	<b>B</b>	<b>2000</b>	<b>14.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>SS</b>	<b>193,965</b>	<b>19.24</b>	<b>25-Jul</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DAL	S	50,000	19.04	25-Jul	14-Aug	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC	040	DDS		SS	30,000	84.67	9-Aug[i]	15-Aug	900.00 3.0
⌘ BUCK CAPITAL MGMT		DHI	B	20,000	17.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DSW	C	10,000	79.49	n/a	n/a	non-brg	4.0
TALON ASSET MGMT.	006	DVA	S	3,500	113.55	n/a	n/a	175.00	5.0
DAVIDSON KEMPNER ADVISOR	281	EXPR	B	25,000	21.02	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	FELE	B	5,857	37.04	n/a	n/a	234.28	4.0
OZ MGMT	040	F	C	59,340	16.48	25-Jul	15-Aug	1,780.20	3.0
KAM ADVISORS LLC	041	GE	SS	100,000	24.03	n/a	n/a	3,000.00	3.0
LAKEWOOD CAPITAL MGMT	085	GMCR	SS	3,000	74.45	n/a	n/a	90.00	3.0
OZ MGMT	040	GM	B	50,000	34.69	n/a	7-Aug	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GPS	B	10,000	43.53	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	B	10,000	43.80	n/a	n/a	non-brg	4.0
MAPLE LANE CAPITAL	040	GRPN	B	50,000	9.82	n/a	n/a	2,000.00	4.0
f JONATHAN RICHARD HAR	FID	HTZ	B	100	24.13	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	ITB	B	750	20.21	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		ITX SM	S	87,075	136.68	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		JBLU	B	140,000	6.30	n/a	31-Jul	non-brg	3.0
⚡ BUCK CAPITAL MGMT		JBLU	B	40,000	6.28	n/a	31-Jul	non-brg	3.0
⚡ BUCK CAPITAL MGMT		JBLU	B	60,000	6.31	n/a	31-Jul	non-brg	3.0
MFP INVESTORS	085	JCP	S	20,000	13.41	n/a	13-Aug	1,000.00	5.0
BASSWOOD PARTNERS	267	JWN	C	17,943	59.25	n/a	7-Aug	717.72	4.0
MACELLUM CAPITAL	086	KSS	S	40,000	53.41	n/a	15-Aug	1,200.00	3.0
f MARC PAUL LUCHANSKY	FID	LNKD	S	50	228.67	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	35,000	15.08	n/a	14-Aug	1,750.00	5.0
DELTEC ASSET MGMT.	040	M	B	9,000	45.55	15-Aug	14-Aug	450.00	5.0
PRIMECAP MGMT	084	NEM	S	5,000	32.28	n/a	n/a	200.00	4.0
TALON ASSET MGMT.	006	N	S	1,000	93.54	n/a	n/a	50.00	5.0
CADIAN CAPITAL	041	ONNN	B	100,000	7.26	n/a	n/a	3,000.00	3.0
DAVIDSON KEMPNER ADVISOR	281	PSMT	SS	2,159	87.78	n/a	n/a	107.95	5.0
HARVEST MGMT (JMP)	029	PVH	S	6,000	126.91	n/a	18-Jul	300.00	5.0
TALON ASSET MGMT.	006	QLIK	S	5,000	32.65	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>REGN</b>	<b>S</b>	<b>1000</b>	<b>236.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
VISIUM/BALY BOBBY	044	RFMD	B	15,400	4.85	n/a	n/a	462.00	3.0
VISIUM/BALY BOBBY	044	RFMD	S	65,400	4.85	n/a	n/a	1,962.00	3.0
COUGAR TRADING	044	RTH	SS	5,000	53.60	n/a	n/a	250.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>R</b>	<b>B</b>	<b>100</b>	<b>0.40</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>15</b>	<b>0.77</b>	<b>n/a</b>	<b>26-Jul</b>	<b>0.00</b>	<b>0.0</b>
TALON ASSET MGMT.	006	SBUX	S	5,000	70.96	n/a	26-Jul	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>15,000</b>	<b>21.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>15,000</b>	<b>22.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	TEX	B	7,000	31.16	n/a	n/a	280.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	68.95	n/a	n/a	1,500.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TRIP</b>	<b>S</b>	<b>50</b>	<b>70.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>B</b>	<b>20,000</b>	<b>99.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>40.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	UTX	S	100	103.39	n/a	n/a	5.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VIA</b>	<b>S</b>	<b>2000</b>	<b>78.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CADIAN CAPITAL	041	VMW	SS	55,000	83.65	n/a	n/a	1,650.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	VMW	B	40,000	83.59	n/a	n/a	1,200.00	3.0
MOORE CAPITAL	257	VZ	C	25,000	48.58	n/a	n/a	750.00	3.0
TALON ASSET MGMT.	006	VZ	S	10,000	48.50	n/a	n/a	500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>1000</b>	<b>174.87</b>	<b>n/a</b>	<b>14-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WAG</b>	<b>B</b>	<b>1000</b>	<b>49.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WGO</b>	<b>B</b>	<b>20,000</b>	<b>22.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	13,411	21.98	n/a	n/a	402.33	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>500</b>	<b>10.38</b>	<b>n/a</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WTSL</b>	<b>B</b>	<b>2000</b>	<b>4.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WYNN</b>	<b>B</b>	<b>30,000</b>	<b>138.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>TOTAL (Trade Date):</b>								<b>39,674.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/13	PATTEN & PATTEN	025	AGN	B	150	90.16	n/a-2013-08-15		7.50 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	AGN	B	150	90.16	n/a-2013-08-15		7.50 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	AIG	B	350	47.95	n/a	n/a	17.50 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	AIG	B	350	47.95	n/a	n/a	17.50 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	BTO	B	2,000	22.99	n/a	n/a	100.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	BTO	B	2,000	22.99	n/a	n/a	100.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	CAT	S	250	86.87	n/a	n/a	12.50 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	CAT	S	250	86.87	n/a	n/a	12.50 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	CBI	B	500	59.55	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	CBI	B	500	59.55	n/a	n/a	25.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	D	S	500	60.10	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	D	S	500	60.10	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	DLR	S	500	54.28	n/a	n/a	25.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	DLR	S	500	54.28	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	ETN	B	400	67.02	n/a-2013-08-05		20.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	ETN	B	400	67.02	n/a-2013-08-05		20.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	EWC	S	1,500	27.72	n/a	n/a	75.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	EWC	S	1,500	27.72	n/a	n/a	75.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	EZU	B	1,000	36.30	n/a	n/a	50.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/13	PATTEN & PATTEN	025	EZU	B	1,000	36.30	n/a	n/a	50.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	INTC	B	550	22.46	n/a	n/a	27.50 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	INTC	B	550	22.46	n/a	n/a	27.50 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	JWN	B	100	59.54	n/a-2013-08-07		5.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	JWN	B	100	59.54	n/a-2013-08-07		5.00 0.0
AO,CRT	08/13	PATTEN & PATTEN	025	LLY	S	400	55.49	n/a	n/a	20.00 0.0
AO,CXL	08/13	PATTEN & PATTEN	025	LLY	S	400	55.49	n/a	n/a	20.00 0.0
AO,CRT	08/14	FIRST NEW YORK	086	NOK	B	20,000	4.18	n/a	n/a	800.00 0.0
AO,CXL	08/14	FIRST NEW YORK	086	NOK	B	20,000	4.18	n/a	n/a	1000.00 0.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>-200.00</b>
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TOTAL (Trade Date) :	39,674.88
TOTAL (AO, CXL, CRT) :	-200.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>39,474.88</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 15-Aug.

**M**

MRI Securities without Trade Activity on 15-Aug.

**SPR, WMT**

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)**