



Daily Compliance Activity Report

Trade Date: 10/11/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARON ASSET MGMT*	006	ACC	B	7,100	34.43	n/a	n/a	284.00	4.0
PRIMECAP MGMT	084	AFFX	B	3,100	6.57	n/a	n/a	93.00	3.0
f DAVID GEORGE BUCK	FID	ANF	S	30	0.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		APC	S	5,300	95.87	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	APD	B	5,000	108.16	n/a	n/a	150.00	3.0
INTERVAL PARTNERS	033	ASNA	SS	35,000	19.46	n/a	n/a	1,050.00	3.0
ROSEDALE CAPITAL	046	AXL	B	20,000	18.68	n/a	18-Sep	800.00	4.0
STATE TEACHERS RET SYS	047	BRCD	S	139,999	8.02	n/a	n/a	6,999.95	5.0
B BUCK CAPITAL MGMT		BURL	SS	20,000	26.58	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CACH	S	7601	5.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CAKE	SS	20,000	42.98	n/a	11-Oct	non-brg	4.0
BALYASNY ASSET MGMT	044	CASY	SS	25,000	73.64	n/a	n/a	1,250.00	5.0
SENATOR INVESTMENT GROUP	287	CNX	SS	100,000	38.04	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		CRMB	S	5,804	1.00	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	CYH	SS	20,000	43.40	n/a	n/a	600.00	3.0
TUDOR INVESTORS	028	DD	SS	5,000	57.96	n/a	n/a	150.00	3.0
IONIC CAPITAL MANAGEMENT	041	DFT	S	55,000	25.54	n/a	n/a	1,650.00	3.0
f DAVID GEORGE BUCK	FID	DIS	B	40	0.68	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DIS	S	40	0.56	n/a	n/a	0.00	0.0
IONIC CAPITAL MANAGEMENT	041	DLR	S	25,600	55.11	n/a	n/a	768.00	3.0
B BUCK CAPITAL MGMT		DVN	S	8,200	61.19	n/a	n/a	non-brg	4.0
BARON ASSET MGMT*	006	DWA	B	35,000	27.59	n/a	n/a	1,050.00	3.0
B BUCK CAPITAL MGMT		EAT	SS	20,000	40.14	n/a	11-Oct	non-brg	4.0
ROARING BLUE LION MGMT	031	EAT	SS	45,000	40.12	n/a	11-Oct	1,800.00	4.0
B BUCK CAPITAL MGMT		ETN	S	15,000	68.72	n/a	n/a	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FAUDX	S	50	10.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	S	60	10.06	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	006	FCEA	B	7,420	18.85	n/a	n/a	222.60	3.0
f KELLY ELIZABETH CLIF	FID	FILEFX	B	125	10.39	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	FMER	B	61,113	22.18	n/a	n/a	2,444.52	4.0
f DANIEL R SCHWARZWALD	FID	FNSXX	S	1200000	1.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KELLY ELIZABETH CLIF	FID	FNSXX	S	800	1.00	n/a	n/a	0.00	0.0
	PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	22.01	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		FRAN	S	400,000	16.63	n/a	n/a	non-brg	4.0
f	DANIEL R SCHWARZWALD	FID	FSEVX	B	24	50.91	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FSGFX	B	40	15.05	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	GE	B	3000	24.39	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	GE	B	200	24.40	n/a	n/a	0.00	0.0
	NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	100,000	35.04	n/a	10-Oct	3,000.00	3.0
	JETSTREAM GLOBAL FUND LP	065	GNRC	S	60,000	40.91	n/a	n/a	3,000.00	5.0
B	BUCK CAPITAL MGMT		GPS	S	25,000	36.53	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		GPS	S	25,000	36.64	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		GPS	S	25,000	36.86	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		GPS	S	63,400	36.64	n/a	n/a	non-brg	4.0
	TUDOR INVESTORS	028	GWR	B	2,000	93.67	n/a	n/a	60.00	3.0
B	BUCK CAPITAL MGMT		JBLU 10 C7	S	1,000	0.15	n/a	n/a	non-brg	100.0
	CSL ASSOCIATES	006	JBLU	B	4,898	6.88	n/a	11-Oct	146.94	3.0
	FIRST NY SEC/CHRIS	041	JBLU	B	15,000	6.94	n/a	11-Oct	750.00	5.0
	SCOPIA CAPITAL	025	JBLU	S	88,111	7.00	n/a	11-Oct	2,643.33	3.0
	STELLIAM INV ADV	086	JBLU	B	20,000	6.86	n/a	11-Oct	400.00	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	155,110	6.93	n/a	11-Oct	6,204.40	4.0
	HOLLIS CAPITAL	033	JPM	S	5,000	52.53	n/a	11-Oct	250.00	5.0	
Õ	May Tang		KORS	B	200	72.61	n/a	n/a	0.00	0.0	
	ROTHSCHILD ASSET	040	LECO	S	10,694	68.05	n/a	n/a	427.76	4.0	
	DAVIDSON KEMPNER ADVISOR	281	LEG	SS	25,000	29.70	n/a	n/a	1,250.00	5.0	
	GALT INVESTMENT	041	LF	S	50,000	8.82	n/a	n/a	1,500.00	3.0	
	MACELLUM CAPITAL	086	LF	S	56,000	8.79	n/a	n/a	1,680.00	3.0	
f	MANNY I KORMAN	FID	LGF	B	3000	34.70	n/a	n/a	0.00	0.0	
	TUDOR INVESTORS	028	LII	S	2,000	73.73	n/a	n/a	60.00	3.0	
	ROTHSCHILD ASSET	040	LOGM	B	15,724	31.09	n/a	n/a	628.96	4.0	
	TYVOR CAPITAL LLC	031	LO	S	50,000	46.03	n/a	n/a	1,500.00	3.0	
f	MANNY I KORMAN	FID	LTM	B	3000	50.97	n/a	n/a	0.00	0.0	
	TUDOR INVESTORS	028	MON	SS	10,000	105.49	n/a	n/a	300.00	3.0	
	LIONEYE CAPITAL	040	MW	S	13,945	44.31	n/a	n/a	697.25	5.0	
B	BUCK CAPITAL MGMT		M	S	160,000	42.42	30-Sep	30-Sep	non-brg	4.0	
B	BUCK CAPITAL MGMT		M	S	34,200	42.57	30-Sep	30-Sep	non-brg	4.0	
	S.A.C. CAPITAL	044	NBIX	SS	50,000	10.37	n/a	n/a	1,500.00	3.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ORCL	S	234,000	33.27	n/a	n/a	9,360.00	4.0
SENATOR INVESTMENT GROUP	287	PDCO	SS	61,973	40.39	n/a	n/a	1,859.19	3.0
BALYASNY ASSET MGMT	044	SCSS	SS	25,000	25.76	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		SIG	B	20,000	72.19	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	SON	B	5,000	38.05	n/a	n/a	150.00	3.0
LEVIN CAPITAL STRATEGIES	041	SPY	C	2,972	169.51	n/a	n/a	89.16	3.0
LEVIN CAPITAL STRATEGIES	041	STZ	S	10,193	61.94	3-Oct	9-Oct	305.79	3.0
TUDOR INVESTORS	028	ST	S	10,000	38.60	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		SWN	S	14,000	35.84	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	SYMC	S	260,120	25.05	n/a	n/a	10,404.80	4.0
CORVEX CAPITAL	041	TPX	SS	50,000	41.28	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	TXT	B	7,000	27.39	n/a	n/a	210.00	3.0
ROTHSCHILD ASSET	040	UBNT	S	38,666	36.97	n/a	n/a	1,546.64	4.0
B BUCK CAPITAL MGMT		URBN	S	50,000	35.29	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	S	50,000	35.35	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		URBN	S	50,000	35.41	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	VVUS	SS	115,000	11.19	n/a	n/a	6,450.00	13.0
MARCATO CAPITAL MGMT.	029	VXX	B	750,000	14.43	n/a	n/a	30,000.00	4.0
B BUCK CAPITAL MGMT		WGO	S	75,000	26.76	n/a	n/a	non-brg	4.0
INTERVAL PARTNERS	033	XLU	S	50,000	38.05	n/a	n/a	1,500.00	3.0
RIDGECREST INV MGMT LLC	028	XOP	SS	25,000	67.76	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		XRT	C	190,000	81.22	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								114,636.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/10	TUDOR INVESTORS	028	WBC	S	5,000	84.18-2013-09-17-2013-09-27	150.00	0.0
AO,CXL	10/10	TUDOR INVESTORS	028	WBC	S	5,000	84.18-2013-09-17-2013-09-27	1.50	0.0

TOTAL (AO, CXL, CRT) :	148.50
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TOTAL (Trade Date) :	114,636.29
TOTAL (AO, CXL, CRT) :	148.50

TOTAL (RUN DATE) / NFS:	114,784.79
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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 11-Oct.
NONE

MRI Securities without Trade Activity on 11-Oct.
SWFT

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)