



Daily Compliance Activity Report

Trade Date: 10/28/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	S	10	7.93	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	ABX	S	60	20.57	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	ACE	S	29,680	96.05	n/a	n/a	1,187.20	4.0
PIONEER OAKRIDGE	031	ALGN	S	151,330	56.26	n/a	n/a	4,539.90	3.0
f IAN L MILLER	FID	ALTFX	B	6	82.10	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	AMCX	B	10,000	69.75	n/a	n/a	300.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	APD	B	10,000	109.73		n/a	n/a	300.00 3.0
f IAN L MILLER	FID	APGAX	B	13	38.98	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	ARCP	B	15,000	13.62		n/a	n/a	450.00 3.0
MOORE CAPITAL	257	ATK	S	15,000	108.59	n/a	n/a	450.00	3.0
SONICA CAPITAL LLC	025	AVP	B	27,000	22.45	n/a	n/a	810.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	A	B	5,000	51.45		n/a	n/a	150.00 3.0
OZ MGMT	040	BA	B	32,646	129.64	28-Oct	28-Oct	1,632.30	5.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	BID	B	3,000	52.67		n/a	n/a	90.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	BIIB	B	1000	255.44	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	BIIB	B	3,000	258.86	n/a	n/a	90.00	3.0
f IAN L MILLER	FID	CABDX	B	93	5.35	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	CAB	B	15,000	60.52	n/a	n/a	750.00	5.0
SONICA CAPITAL LLC	025	CAT	SS	13,000	84.21	n/a	n/a	390.00	3.0
f JONATHAN RICHARD HAR	FID	CBK	B	8000	5.91	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	CB	B	6,500	92.44	n/a	n/a	260.00	4.0
B BUCK CAPITAL MGMT		CERN	C	70,000	56.36	n/a	n/a	non-brg	4.0
SANDLER CAPITAL	028	CRM	S	180,000	52.84	n/a	n/a	9,000.00	5.0
f IAN L MILLER	FID	CST	S	40	32.14	n/a	n/a	0.00	0.0
J. GOLDMAN	028	DD	SS	17,500	61.60	n/a	n/a	700.00	4.0
BESSEMER INVESTMENT	085	DG	S	200	59.14	n/a	n/a	8.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPS	SS	25,000	47.58	n/a	n/a	750.00	3.0
f MICHAEL ALEXANDER SM	FID	FB	B	3	6.17	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	FDX	S	11,840	132.20	16-Oct	16-Oct	473.60	4.0
INTERVAL PARTNERS	033	FL	B	25,000	34.69	n/a	23-Oct	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		FRAN	S	100,000	17.76	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	S	15,000	17.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	S	25,000	17.73	n/a	n/a	non-brg	2.5
MOORE CAPITAL	257	GE	B	125,000	26.08	n/a	n/a	3,750.00	3.0
MOORE CAPITAL	257	GE	S	50,000	25.85	n/a	n/a	1,500.00	3.0
f MANNY I KORMAN	FID	GILD	B	4000	69.25	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	GM	B	12,000	35.80	n/a	21-Oct	600.00	5.0
⚡ BUCK CAPITAL MGMT		GNC	S	20,000	59.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GPS	SS	127,500	36.88	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GRA	B	1,500	91.60		n/a	n/a	45.00 3.0
ASCEND PARTNERS	033	GTI	C	71,781	8.14	n/a	n/a	2,153.43	3.0
NOKOMIS PARTNERS	031	HCOM	S	20,544	27.00	n/a	n/a	616.32	3.0
⚡ BUCK CAPITAL MGMT		HD	B	40,000	76.22	n/a	n/a	non-brg	4.0
RIVERLOFT CAPITAL	044	HIG	B	25,000	33.68	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HUN	B	5,000	21.73		n/a	n/a	150.00 3.0
CHARTERBRIDGE CAPITAL	025	INVN	C	75,000	18.22	n/a	n/a	2,250.00	3.0
⚡ BUCK CAPITAL MGMT		JBLU	S	65,000	7.53	n/a	18-Oct	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	JBLU	S	30,000	7.62	n/a	18-Oct	900.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	154,700	7.61	n/a	18-Oct	6,188.00 4.0
MERRILL ASSET/BLACKROCK	085	JPM	B	11,881	52.84	n/a	25-Oct	475.24	4.0
CADIAN CAPITAL	041	JWN	C	50,000	60.39	n/a	4-Oct	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	KMB	S	53,245	107.46	n/a	22-Oct	2,129.80	4.0
f IAN L MILLER	FID	LAD	B	10	63.66	n/a	n/a	0.00	0.0
SCOPUS FUND	041	LAD	B	50,000	64.04	n/a	n/a	2,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LAMR	B	5,000	46.61		n/a n/a	150.00	3.0
f MICHAEL ALEXANDER SM	FID	LPX	S	10	1.10	n/a	25-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	LPX	S	5	1.10	n/a	25-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	LPX	S	60	1.09	n/a	25-Oct	0.00	0.0
KENNEDY CAPITAL	046	LRN	B	10,000	18.66	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	MRO	S	330	36.21	n/a	n/a	13.20	4.0
B BUCK CAPITAL MGMT		NCLH	S	50,000	32.03	n/a	n/a	non-brg	4.0
AMICI CAPITAL N/C	044	NTAP	S	50,000	39.67	n/a	n/a	2,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	O	S	4,000	42.99		n/a n/a	120.00	3.0
B BUCK CAPITAL MGMT		PBPB	SS	35,000	30.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PBPB	SS	5,000	30.71	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	PCAR	C	2,450	58.30	n/a	11-Oct	98.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	15,000	49.52	n/a	25-Oct	750.00	5.0
SUFFOLK CAPITAL MGMT	040	PCP	S	5,820	254.55	16-Oct	24-Oct	232.80	4.0
B BUCK CAPITAL MGMT		PIR	B	50,000	21.15	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	ROST	S	39,000	76.22	n/a	30-Sep	1,170.00	3.0
f DAVID GEORGE BUCK	FID	SAZ GR	S	1000	56.81	n/a	n/a	0.00	0.0
CASTLEROCK	040	SBUX	B	5,000	78.79	30-Sep	11-Oct	100.00	2.0
RIDGECREST INV MGMT LLC	028	SPY	SS	10,000	175.72	n/a	n/a	400.00	4.0
GOLD SACHS SPECIAL SIT	030	SRI	S	25,000	13.01	n/a	n/a	1,250.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	SWY	B		5,000	35.89	n/a	n/a	150.00	3.0
PROSPECTOR PARTNERS LLC	036	TRV	SS	17,100	87.19	n/a	n/a	684.00	4.0
JETSTREAM GLOBAL FUND LP	065	TSL	B	165,000	14.55	n/a	n/a	8,250.00	5.0
LOMAS CAPITAL	040	UAL	B	97,000	31.92	25-Oct	25-Oct	2,910.00	3.0
f IAN L MILLER	FID	UPL	B	50	19.14	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	VIAB	S	300	84.75	n/a	n/a	12.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FSI GROUP, LLC	047	WETF	B	100,000	14.20	n/a	n/a	4,999.60	5.0
f GAVIN N CADWALLADER	FID	WYNN	B	15	168.47	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	WY	S	20,000	31.21	25-Oct	28-Oct	800.00	4.0
TOTAL (Trade Date):								72,578.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/17	COLUMBUS CIRCLE	036	ATHL	S	757	33.07	n/a	n/a	30.28	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	AWK	B	8,270	42.24	n/a	n/a	330.80	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	AWK	B	8,270	42.24	n/a	n/a	330.80	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	CVS	B	3,570	61.28	n/a	n/a	142.80	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	CVS	B	3,570	61.28	n/a	n/a	142.80	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	DG	B	5,080	59.51	n/a	n/a	203.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	DG	B	5,080	59.51	n/a	n/a	203.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	LTD	B	3,510	61.56	n/a	n/a	140.40	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	LTD	B	3,510	61.56	n/a	n/a	140.40	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	M	B	5,890	45.08-2013-09-30-2013-09-30			235.60	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	M	B	5,890	45.08-2013-09-30-2013-09-30			235.60	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	MRO	B	3,730	35.33	n/a	n/a	149.20	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	MRO	B	3,730	35.33	n/a	n/a	149.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT	085	TGT	B	3,730	63.81	n/a	n/a	149.20	0.0
AO,CRT	10/25	BESSEMER INVESTMENT	085	TGT	B	3,730	63.81	n/a	n/a	149.20	0.0
AO,	10/25	KORTRIGHT CAPITAL PARTNERS	025	WY	S	20,000	31.41-2013-10-25-2013-10-28			600.00	0.0
AO,CXL	10/25	KORTRIGHT CAPITAL PARTNERS	025	WY	S	20,000	31.41-2013-10-25-2013-10-28			600.00	0.0
TOTAL (AO, CXL, CRT) :										30.28	

TOTAL (Trade Date):	72,578.39
TOTAL (AO, CXL, CRT):	30.28

TOTAL (RUN DATE) / NFS:	72,608.67
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	10/25	BUCK CAPITAL MGMT.	COMM	S	1,000	15.03	n/a	n/a	25.00
CRT	10/25	BUCK CAPITAL MGMT	COMM	S	1,000	15.05	n/a	n/a	25.00 2.5

MRI Securities with Trade Activity on 28-Oct.

BA

MRI Securities without Trade Activity on 28-Oct.

LEA, UPS

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)