



Daily Compliance Activity Report

Trade Date: 08/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AEO	S	320,800	14.93	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	33,000	15.20	n/a	n/a	non-brg	3.0
f DAVID GEORGE BUCK	FID	ANF	B	30	1.45	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ANF	S	30	1.13	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	ANF	B	1,000	38.56	n/a	n/a	50.00	5.0
SCOPUS FUND	041	ANN	B	25,000	32.41	n/a	n/a	1,000.00	4.0
f MANNY I KORMAN	FID	APA	B	2000	78.45	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	ARO	B	6,500	10.89	n/a	n/a	325.00	5.0
MAPLE ROW	006	AXL	B	2,500	20.42	5-Aug	16-Aug	125.00	5.0
SCOPUS FUND	041	AXL	B	50,000	20.27	5-Aug	16-Aug	2,000.00	4.0
TIDE POINT CAPITAL	028	AXL	B	27,299	20.09	5-Aug	16-Aug	818.97	3.0
f DAVID GEORGE BUCK	FID	BBRY	S	40	0.62	n/a	n/a	0.00	0.0
CAPITAL WORLD	084	BMV	S	185,000	41.39	n/a	n/a	6,475.00	4.0
B BUCK CAPITAL MGMT		BONT	C	25,500	13.17	7-Aug	22-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	C	4,500	13.00	7-Aug	22-Aug	non-brg	2.0
SIMMONS VENTURES	041	BONT	B	4,750	13.29	7-Aug	22-Aug	237.50	5.0
f MANNY I KORMAN	FID	CBS	B	3000	52.42	n/a	n/a	0.00	0.0
EDGEWOOD	085	CMG	S	35,000	406.10	n/a	n/a	1,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	070	CSCO	S	64,100	24.03	n/a	n/a	2,307.60	4.0
BRONSON POINT	036	DG	S	25,000	55.40	n/a	n/a	750.00	3.0
SCOPUS FUND	041	DG	B	100,000	55.27	n/a	n/a	4,000.00	4.0
FRED ALGER MGMT	070	DHR	B	100,200	66.97	n/a	n/a	3,607.20	4.0
KEY ASSET MGMT/VICTORY	220	DKS	B	140,551	46.68	21-Aug	21-Aug	5,622.04	4.0
MAPLE LANE CAPITAL	040	DLTR	B	25,000	51.65	n/a	15-Aug	1,250.00	5.0
MARSICO CAPITAL	046	DLTR	S	64,178	52.89	n/a	15-Aug	2,567.12	4.0
RIVERPARK CAPITAL	025	DLTR	S	22,138	53.18	n/a	15-Aug	1,106.90	5.0
S.A.C. CAPITAL	044	DLTR	S	25,000	51.65	n/a	15-Aug	750.00	3.0
TYVOR CAPITAL LLC	031	DLTR	B	25,000	51.38	n/a	15-Aug	750.00	3.0
LISTED ERR	099	DLTR	B	200	52.57	n/a	15-Aug	0.00	0.0
KEY ASSET MGMT/VICTORY	220	DTV	B	100,551	58.09	n/a	n/a	4,022.04	4.0
LISTED ERR	099	DTV	S	255	58.09	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DVR	S	3,723	2.05	n/a	n/a	74.46	2.0
GALT INVESTMENT	041	EXPR	B	30,000	19.74	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		FDO	C	47,200	72.62	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	FFIN	B	3,000	60.24	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		GCO	B	14,241	70.57	n/a	n/a	non-brg	4.0
JET CAPITAL/CHRIS	041	GEO	S	1,031	32.63	n/a	n/a	30.93	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	GES	SS	15,000	29.00	n/a	n/a	600.00	4.0
BALYASNY ASSET MGMT	044	GM	B	50,000	34.99	n/a	16-Aug	2,500.00	5.0
f JONATHAN RICHARD HAR	FID	GM	S	30	3.15	n/a	16-Aug	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	34.97	n/a	16-Aug	300.00	3.0
TIDE POINT CAPITAL	028	GM	B	20,000	34.93	n/a	16-Aug	600.00	3.0
OSKIE CAPITAL MGMT	224	GS	SS	14,000	158.65	n/a	6-Aug	700.00	5.0
WADDELL AND REED	047	GS	S	104,220	158.08	n/a	6-Aug	4,168.80	4.0
B BUCK CAPITAL MGMT		HTZ	B	20,000	25.01	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	070	IBM	S	71,605	185.25	n/a	n/a	2,577.78	4.0
FRED ALGER MGMT	070	IR	B	46,320	61.39	n/a	n/a	1,667.52	4.0
JET CAPITAL/CHRIS	041	IYR	C	1,000	62.33	n/a	n/a	30.00	3.0
ROTHSCHILD ASSET	040	JBL	B	4,369	23.53	n/a	n/a	174.76	4.0
MAPLE ROW	006	KBH	B	7,500	17.06	n/a	n/a	375.00	5.0
STRONG/MARK GRONET	030	LCC	B	53,225	16.21	25-Jul	19-Aug	2,129.00	4.0
MAPLE ROW	006	LEN	B	7,500	33.53	n/a	n/a	375.00	5.0
MAPLE ROW	006	LRCX	B	7,500	48.29	n/a	n/a	375.00	5.0
SIGMA CAP BOBBY	044	MAR	B	50,000	40.66	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAPLE ROW	006	MAS	B	5,000	19.43	n/a	n/a	250.00	5.0
f MANNY I KORMAN	FID	MON	B	2000	95.69	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	MS	SS	50,000	26.33	n/a	6-Aug	2,500.00	5.0
MAPLE ROW	006	MU	B	25,000	13.84	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	M	B	25,000	45.15	15-Aug	14-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		NAV	S	74,500	34.45	n/a	5-Aug	non-brg	4.0
BALYASNY ASSET MGMT	044	PCP	B	20,000	219.21	5-Aug	12-Aug	1,000.00	5.0
MAPLE ROW	006	PHM	B	7,500	16.37	n/a	n/a	375.00	5.0
BTG PACTUAL	040	RH	S	6,800	70.32	n/a	n/a	204.00	3.0
B BUCK CAPITAL MGMT		ROST	B	15,500	68.14	n/a	7-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ROST	B	25,000	68.31	n/a	7-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ROST	B	9,500	68.26	n/a	7-Aug	non-brg	1.0
SIMMONS VENTURES	041	ROST	B	1,700	68.40	n/a	7-Aug	85.00	5.0
BNP PARIBAS SEC	040	SIRI	S	100,000	3.65	n/a	n/a	3,000.00	3.0
ARDSLEY PARTNERS	280	SRE	B	5,000	83.35	n/a	n/a	250.00	5.0
f JASON ERIC COHEN	FID	TBF	S	1000	33.48	n/a	n/a	0.00	0.0
MAPLE ROW	006	TOL	B	12,500	32.16	n/a	n/a	625.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMBARDIA CAP MGMT	084	TPC	S	13,970	19.41	n/a	n/a	558.80	4.0
FRED ALGER MGMT	070	TYC	B	44,950	34.20	n/a	n/a	1,618.20	4.0
f ANTHONY SUTERA	FID	VVUS	B	500	12.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WCIC	B	20,000	15.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WYNN	B	30,000	140.79	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								71,978.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/21	CORTEX CAPITAL	031	ANW	S	25,000	8.79	n/a	n/a	750.00 0.0
AO,CXL	08/21	KLEINHEINZ CAP PART	031	ANW	S	25,000	8.79	n/a	n/a	1250.00 0.0
AO,CRT	08/21	DC CAPITAL	044	LPX	B	50,000	15.13	n/a-2013-08-21		1500.00 0.0
AO,CXL	08/21	DC CAPITAL	044	LPX	B	50,000	15.13	n/a-2013-08-21		2000.00 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00

TOTAL (Trade Date) :	71,978.62
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	70,978.62
---------------------------------	------------------

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 22-Aug.
NONE

MRI Securities without Trade Activity on 22-Aug.
NONE

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)