



Daily Compliance Activity Report

Trade Date: 08/27/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT)251	ADT	B	5,000	40.82		n/a	n/a	150.00 3.0
PRIMECAP MGMT	084	AFFX	B	5,000	5.59	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	AIG	B	200	46.52	n/a	n/a	10.00	5.0
ADAGE CAPITAL MGMT	030	AVP	B	125,000	19.84	5-Aug	n/a	3,750.00	3.0
SUFFOLK CAPITAL MGMT	040	AVP	B	169,100	19.85	5-Aug	n/a	6,764.00	4.0
FARALLON CAP MGMT	040	AXLL	B	25,000	41.00	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		AXL	B	25,000	18.98	5-Aug	16-Aug	non-brg	4.0
SANDLER O'NEILL ASSET	031	AXP	B	25,000	72.69	9-Aug	23-Aug	1,250.00	5.0
BASSWOOD PARTNERS	267	BAC	S	86,419	14.29	n/a	23-Aug	3,456.76	4.0
J. GOLDMAN	028	BEAV	B	32,000	68.20	12-Aug	12-Aug	1,280.00	4.0
B BUCK CAPITAL MGMT		BID	C	130,598	46.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	C	14,700	46.35	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	BIIB	B	500	209.50	n/a	n/a	0.00	0.0
FINDLAY PARK PART	085	BK	B	156,000	29.81	n/a	23-Aug	6,976.04	4.0
BERYLSON CAPITAL	030	BONT	B	63,184	11.57	23-Aug	22-Aug	1,895.52	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		BONT	C	10,000	11.22	23-Aug	22-Aug	non-brg	4.0
	LAGRANGE CAP ADV	087	BONT	B	40,000	11.50	23-Aug	22-Aug	2,000.00	5.0
	PATTEN & PATTEN	025	BTO	B	450	22.53	n/a	n/a	22.50	5.0
f	JONATHAN RICHARD HAR	FID	CACH	B	2000	4.49	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CAR	S	18,000	27.78	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		CAR	S	30,000	27.65	n/a	n/a	non-brg	4.0
	CORTEX CAPITAL	031	CERN	SS	6,000	46.75	n/a	n/a	180.00	3.0
B	BUCK CAPITAL MGMT		CHS	C	10,000	15.30	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	CL	S	20	0.31	n/a	15-Aug	0.00	0.0
	SUFFOLK CAPITAL MGMT	040	CMCSA	S	1,000	41.88	n/a	n/a	40.00	4.0
	EDGEWOOD	085	CMG	S	14,919	403.22	n/a	n/a	745.95	5.0
	SCOPIA CAPITAL	025	COLE	B	250,000	11.11	n/a	n/a	10,000.00	4.0
	STRONG/MARK GRONET	030	CYN	S	10,000	66.09	n/a	n/a	400.00	4.0
	STRONG/MARK GRONET	030	DAL	S	15,000	19.09	n/a	19-Aug	600.00	4.0
	AMICI CAPITAL N/C FROM PORTER-ORLIN	044	DB		B	75,000	43.72	n/a	n/a	3,000.00 4.0
	STRONG/MARK GRONET	030	DENN	S	10,000	5.48	n/a	n/a	300.00	3.0
	KLEINHEINZ CAP PART	031	DE	SS	100,000	83.66	n/a	n/a	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	DFS	B	39,495	47.23	n/a	23-Aug	1,974.75	5.0
⌘ BUCK CAPITAL MGMT		DHI	B	22,000	18.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DHI	B	6,000	18.00	n/a	n/a	non-brg	2.0
f YANAI A FRANK	FID	DIOD	B	1035	24.53	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DKS	B	10,000	46.50	21-Aug	27-Aug	non-brg	4.0
f JASON ERIC COHEN	FID	EOX	B	770	6.55	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	FL	SS	4,000	32.60	26-Aug	27-Aug	200.00	5.0
BRIGADE CAPITAL MGMT	029	FST	S	71,000	5.70	n/a	n/a	2,130.00	3.0
⌘ BUCK CAPITAL MGMT		FTK	B	25,000	19.67	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FTK	B	26,000	19.71	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FWM	B	20,000	23.97	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	10,000	67.37	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	GE	B	200	23.26	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		GIII	B	11,000	45.79	9-Aug[i]	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	B	7,545	45.70	9-Aug[i]	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GM	B	15,000	33.66	n/a	16-Aug	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	S	150,000	33.82	n/a	16-Aug	4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	GM	B	10,000	33.78	n/a	16-Aug	400.00	4.0
B BUCK CAPITAL MGMT		GPS	B	10,000	40.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	B	12,300	40.79	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	287	GRA	B	15,000	80.38	n/a	n/a	450.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HOLX	B	15,000	22.07		n/a	n/a	450.00 3.0
B BUCK CAPITAL MGMT		HTZ	S	120,000	24.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HTZ	S	60,000	24.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS 11 C65	C	150	8.90	n/a	n/a	non-brg	300.0
HOLLIS CAPITAL	033	LCC	S	5,000	15.53	n/a	19-Aug	250.00	5.0
BALYASNY ASSET MGMT	044	MAS	S	100,000	18.71	n/a	n/a	5,000.00	5.0
SUFFOLK CAPITAL MGMT	040	MSFT	S	76,300	33.70	n/a	n/a	3,052.00	4.0
f YANAI A FRANK	FID	MU	B	1150	13.09	n/a	n/a	0.00	0.0
CASTLEROCK	040	MWV	B	22,404	36.14	n/a	30-Jul	896.16	4.0
B BUCK CAPITAL MGMT		M	B	10,000	43.57	15-Aug	14-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	11,500	43.68	15-Aug	14-Aug	non-brg	4.0
SIMMONS VENTURES	041	M	B	1,000	43.57	15-Aug	14-Aug	50.00	5.0
f YANAI A FRANK	FID	ONNN	B	2000	7.28	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	PFE	B	200	28.00	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
MERRILL ASSET/BLACKROCK	085	PNFP	S	5,615	28.36	n/a	n/a	224.60	4.0	
f HARALAMBOS EFSTATHI	FID	PSUN	B	3000	3.41	n/a	n/a	0.00	0.0	
f JASON ERIC COHEN	FID	PSUN	B	700	3.36	n/a	n/a	0.00	0.0	
CAMBIAR CAP	046	RDEN	B	142,790	34.96	9-Aug	8-Aug	5,711.60	4.0	
CRAMER ROSENTHAL	070	RDEN	S	94,225	35.05	9-Aug	8-Aug	3,769.00	4.0	
CYRUS CAPITAL	025	RIO	SS	10,000	46.65	n/a	n/a	300.00	3.0	
f ALEXANDRA ELISE ZOLI	FID	RL	B	100	169.05	n/a	8-Aug	0.00	0.0	
B BUCK CAPITAL MGMT		RL	B	3,000	166.51	n/a	8-Aug	non-brg	3.0	
LAKEWOOD CAPITAL MGMT	085	RVLT	C	20,000	3.17	n/a	n/a	600.00	3.0	
ESSENCIAL CAPITAL	031	SDS	S	5,000	38.50	n/a	n/a	150.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	SHW	B	3,000	168.25		n/a	n/a	90.00	3.0
FARALLON CAP MGMT	040	SPY	SS	18,300	164.12	n/a	n/a	732.00	4.0	
ARDSLEY PARTNERS	280	SRE	B	5,000	83.76	n/a	n/a	250.00	5.0	
SIMMONS VENTURES	041	SSI	B	2,500	19.21	23-Aug	22-Aug	125.00	5.0	
SANDLER O'NEILL ASSET	031	STT	B	20,000	67.70	n/a	23-Aug	1,000.00	5.0	
KEY ASSET MGMT/VICTORY	220	STZ	B	10,550	55.36	n/a	15-Aug	422.00	4.0	
ROVER CAPITAL PARTNERS	040	STZ	SS	5,000	55.38	n/a	15-Aug	200.00	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT)251	SUSS	B	1,599	47.25		n/a	n/a	47.97 3.0
PATTEN & PATTEN	025	TEVA	S	300	38.50	n/a	26-Aug	15.00	5.0
B BUCK CAPITAL MGMT		TFM	C	10,000	54.54	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	THI	B	4,500	55.15		n/a	n/a	135.00 3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TIBX	B	20,600	22.53		n/a	n/a	618.00 3.0
NEUBERGER BERMAN	036	TXRH	B	25,965	24.98	n/a	n/a	1,038.60	4.0
BALYASNY ASSET MGMT	044	TXT	B	50,000	26.95	n/a	n/a	2,500.00	5.0
ARDSLEY PARTNERS	280	URI	B	5,000	53.86	n/a	n/a	250.00	5.0
MERRILL ASSET/BLACKROCK	085	V	B	1,818	174.15	n/a	21-Aug	72.72	4.0
B BUCK CAPITAL MGMT		WCIC	B	7,500	15.39	n/a	n/a	non-brg	4.0
SIGMA CAP BOBBY	044	WEN	SS	200,000	7.81	n/a	n/a	6,000.00	3.0
SANDLER O'NEILL ASSET	031	WFC	B	8,500	41.35	n/a	23-Aug	425.00	5.0
NEWLAND CAPITAL MGT	025	WG	S	10,000	9.32	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	WIN	S	206	8.12	n/a	n/a	10.30	5.0
B BUCK CAPITAL MGMT		WSM	C	30,000	60.08	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		WWW	C	20,000	57.07	n/a	n/a	non-brg 4.0
CASTLEROCK	040	WY	B	29,545	27.46	n/a	26-Aug	1,181.80 4.0
TOTAL (Trade Date):							94,512.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	14,100	49.72	n/a	n/a	423.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	14,100	49.72	n/a	n/a	696.00 0.0
AO,CRT	08/26	SCOGGIN LLC	041	ONXX	S	23,000	123.58	n/a	n/a	690.00 3.0
AO,CXL	08/26	SCOGGIN LLC	041	ONXX	S	23,000	123.58	n/a	n/a	1150.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	B	8,169	47.48	n/a	n/a	395.07 0.0
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	B	8,169	47.48	n/a	n/a	245.07 0.0
AO,CRT	08/26	LATEEF MGMT	033	T	B	500	33.92	n/a	n/a	50.00 0.0
AO,CXL	08/26	LATEEF MGMT	033	T	B	500	33.92	n/a	n/a	50.00 0.0

TOTAL (AO, CXL, CRT) :	-37.00
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TOTAL (Trade Date) :	94,512.27
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TOTAL (AO, CXL, CRT) :	-37.00
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TOTAL (RUN DATE) / NFS :	94,475.27
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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 27-Aug.
NONE

MRI Securities without Trade Activity on 27-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)