



Daily Compliance Activity Report

Trade Date: 10/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	AAPL	B	3,200	501.21	n/a	n/a	115.20	4.0
S.A.C. CAPITAL	044	ACOR	SS	39,456	32.16	n/a	n/a	1,183.68	3.0
FRED ALGER MGMT	300	ACT	B	4,195	141.28	n/a	14-Oct	151.02	4.0
f ANTHONY SUTERA	FID	AMRI	B	1000	12.70	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	ANGI	B	100,000	15.30	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		APC	S	5,000	96.17	n/a	n/a	non-brg	4.0
ARCHON CAPITAL	033	ARNA	B	184,800	4.62	n/a	n/a	5,544.00	3.0
INTERVAL PARTNERS	033	ASNA	SS	30,000	19.50	n/a	n/a	900.00	3.0
f ANTHONY SUTERA	FID	BALT	S	5000	5.06	n/a	n/a	0.00	0.0
COHE & STEERS	041	BEE	B	24,650	8.75	n/a	n/a	493.00	2.0
TUDOR INVESTORS	028	CCK	B	5,000	41.27	n/a	n/a	150.00	3.0
f KAREN LYNNE FERENZO	FID	CELG	S	100	155.07	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	CMCSA	B	13,645	46.50	n/a	n/a	491.22	4.0
B BUCK CAPITAL MGMT		CONN	B	20,000	59.29	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CONN	B	8,500	59.29	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRMB	S	4,000	1.05	n/a	n/a	non-brg	1.0
FRED ALGER MGMT	300	CRM	B	6,070	50.79	n/a	n/a	218.52	4.0
PROSPECTOR PARTNERS LLC	036	CSCO	B	8,400	23.25	n/a	n/a	336.00	4.0
FRED ALGER MGMT	300	DLPH	B	7,070	56.90	n/a	n/a	254.52	4.0
CAMBIAR CAP	046	DRI	S	350,000	51.08	23-Sep	11-Oct	14,000.00	4.0
SURVEYOR CAPITAL	251	DRI	B	50,000	51.00	23-Sep	11-Oct	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		DVN	S	16,000	60.99	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	EBAY	B	10,100	54.06	n/a	n/a	363.60	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	10000	1.00	n/a	n/a	0.00	0.0
CADIAN CAPITAL	041	GPC	C	13,000	78.84	n/a	n/a	390.00	3.0
⚡ BUCK CAPITAL MGMT		GPS	S	164,600	36.42	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GPS	S	70,230	36.48	n/a	n/a	non-brg	4.0
TIDE POINT CAPITAL	028	GT	S	15,000	22.66	n/a	n/a	450.00	3.0
NOKOMIS PARTNERS	031	HCOM	S	3,850	27.12	n/a	n/a	115.50	3.0
⚡ BUCK CAPITAL MGMT		HDS	B	24,400	20.60	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	HON	B	5,760	85.18	n/a	n/a	207.36	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		HTZ	S	20,000	23.32	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	HXL	S	28,790	39.53	n/a	n/a	1,036.44	4.0
TUDOR INVESTORS	028	IYR	SS	10,000	65.27	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		JBLU	S	75,000	6.89	n/a	11-Oct	non-brg	3.0
f NILSA VAZQUEZ	FID	JCP	B	1000	7.34	27-Sep	14-Oct	0.00	0.0
ROVER CAPITAL PARTNERS	040	JCP	B	8,500	7.37	27-Sep	14-Oct	255.00	3.0
B BUCK CAPITAL MGMT		KSS	B	10,000	51.46	n/a	30-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	30,000	51.46	n/a	30-Sep	non-brg	4.0
SCOPUS FUND	041	KS	B	10,000	46.31	n/a	n/a	400.00	4.0
PAR CAPITAL	029	LCC	C	50,000	20.63	n/a	4-Oct	2,000.00	4.0
FRED ALGER MGMT	300	LVS	B	7,015	69.23	n/a	n/a	252.54	4.0
MERRILL ASSET/BLACKROCK	085	MA	S	1,000	683.75	n/a	11-Oct	40.00	4.0
MATRIX ASSET ADV.	091	MCD	B	3,500	93.73	n/a	11-Oct	140.00	4.0
PROSPECTOR PARTNERS LLC	036	MDLZ	B	7,900	30.54	n/a	n/a	316.00	4.0
PROSPECTOR PARTNERS LLC	036	PEP	B	8,800	80.78	n/a	n/a	352.00	4.0
CHARTERBRIDGE CAPITAL	025	PGTI	B	2,729	9.73	n/a	n/a	81.87	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	PG	B	2,605	77.54	n/a	9-Oct	93.78	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	58.43	17-Sep	15-Oct	1,500.00	5.0
FORTRESS INVESTMENT (US)	036	PNR	SS	31,000	64.82	n/a	n/a	620.00	2.0
SIMMONS VENTURES	041	PSUN	B	40,000	2.87	n/a	n/a	2,000.00	5.0
FRED ALGER MGMT	300	PVH	B	4,555	118.71	n/a	3-Oct	163.98	4.0
⌘ BUCK CAPITAL MGMT		RH	B	10,000	60.98	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	15,000	106.66	n/a	15-Oct	750.00	5.0
⌘ BUCK CAPITAL MGMT		ROST	B	10,000	72.64	n/a	30-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SBUX	B	10,000	76.84	30-Sep	11-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SMG	C	10,000	56.11	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	25,000	19.78	30-Sep	30-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	30,000	19.76	30-Sep	30-Sep	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SSI	S	50,000	19.68	30-Sep	30-Sep	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SWN	S	28,000	36.70	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	TEN	S	50,000	51.70	n/a	n/a	1,500.00	3.0
FRED ALGER MGMT	300	TEN	B	44,796	51.64	n/a	n/a	1,612.66	4.0
⌘ BUCK CAPITAL MGMT		TJX	B	10,000	55.81	n/a	30-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYMPHONY ASSET	033	TMUS	B	7,220	26.44	n/a	n/a	216.60	3.0
Õ Nilsa Vazquez		TMV	B	500	70.44	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TOT	B	1000	59.72	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TOT	B	500	59.72	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	TOT	B	200	59.73	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TRW	S	10,000	74.89	n/a	n/a	300.00	3.0
WOOSTER CAPITAL	044	TRW	S	20,000	74.45	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		URBN	S	100,000	35.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	67,500	35.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	7,500	35.65	n/a	n/a	non-brg	0.8
CALA	041	URBN	B	135,000	35.84	n/a	n/a	4,050.00	3.0
FRED ALGER MGMT	300	VAL	B	6,055	66.36	n/a	n/a	217.98	4.0
f DAVID GEORGE BUCK	FID	VIA	S	300	83.29	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VOD	S	3000	35.48	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VOD	S	400	35.48	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	VOD	S	500	35.48	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	VVUS	B	1000	10.33	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	VZ	S	49,075	46.69	n/a	n/a	1,766.70	4.0
ß BUCK CAPITAL MGMT		WAG	B	48,000	56.76	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	WCC	S	36,000	74.55	n/a	n/a	1,296.00	4.0
B BUCK CAPITAL MGMT		WHR	B	20,000	132.19	n/a	n/a	non-brg	4.0
SYMPHONY ASSET	033	WHR	B	4,520	131.22	n/a	n/a	135.60	3.0
ROXBURY CAPITAL (HOOD RIVER CAP)	033	WOOF	B	50,000	27.67		n/a	n/a	1,500.00 3.0
f KAREN LYNNE FERENZO	FID	WVALX	S	120	41.71	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								54,260.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/14	ADAGE CAPITAL MGMT	030	DRC	B	496	61.80	n/a	n/a	14.88	0.0
AO,CXL	10/14	ADAGE CAPITAL MGMT	030	DRC	B	496	61.80	n/a	n/a	14.88	0.0
AO,	10/14	TIDE POINT CAPITAL	028	LEA	B	10,000	73.28	n/a-2013-09-18		300.00	0.0
AO,CXL	10/14	TIDE POINT CAPITAL	028	LEA	B	10,000	73.28	n/a-2013-09-18		500.00	0.0
AO,CRT	10/14	IONIC CAPITAL MANAGEMENT	041	PRU	B	21,000	80.27	n/a	n/a	630.00	0.0
AO,CXL	10/14	IONIC CAPITAL MANAGEMENT	041	PRU	B	21,000	80.27	n/a	n/a	630.00	0.0

TOTAL (AO, CXL, CRT) :**-200.00**

TOTAL (Trade Date) :**54,260.77****TOTAL (AO, CXL, CRT) :****-200.00**

TOTAL (RUN DATE) / NFS:**54,060.77**

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 15-Oct.
NONE

MRI Securities without Trade Activity on 15-Oct.
COF

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)