



# Daily Compliance Activity Report

Trade Date: 10/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	AA	SS	25,000	8.58	n/a	n/a	750.00	3.0
CAISSE DEPOT PLACEMENT Q	257	ACN	B	10,000	72.44	n/a	n/a	300.00	3.0
ARDSLEY PARTNERS	280	AGU	C	5,000	85.65	n/a	n/a	250.00	5.0
FRED ALGER MGMT	300	ALGN	S	260	43.49	n/a	n/a	9.36	4.0
J. GOLDMAN	028	ALV	S	19,000	92.36	n/a	17-Oct	760.00	4.0
ASCEND PARTNERS	033	AMGN	S	30,000	115.25	n/a	n/a	900.00	3.0
KOLVEN CAPITAL	025	ARCP	B	1,000	12.80	n/a	n/a	30.00	3.0
TALON ASSET MGMT.	006	AXL	B	6,000	18.85	n/a	17-Oct	300.00	5.0
ROSEDALE CAPITAL	046	BAC	B	25,000	14.46	n/a	17-Oct	1,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BAX</b>	<b>B</b>	<b>500</b>	<b>67.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BEN</b>	<b>S</b>	<b>20</b>	<b>0.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>17,390</b>	<b>51.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BUFTX</b>	<b>B</b>	<b>149</b>	<b>20.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BUFTX</b>	<b>B</b>	<b>248</b>	<b>20.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MSF CAPITAL (ENTRUST)	040	CCK	S	18,120	40.48	n/a	n/a	906.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MSF CAPITAL (ENTRUST)	040	CFN	S	21,929	39.36	n/a	n/a	1,096.45	5.0
FRED ALGER MGMT	300	CGNX	S	290	31.34	n/a	n/a	10.44	4.0
FRED ALGER MGMT	300	CHMT	S	575	24.33	n/a	n/a	20.70	4.0
ARDSLEY PARTNERS	280	CHRW	C	5,000	59.70	n/a	11-Oct	250.00	5.0
KLEINHEINZ CAP PART	031	CLF	B	80,000	23.33	n/a	n/a	4,000.00	5.0
⚡ BUCK CAPITAL MGMT		CONN	B	10,000	61.24	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CONN	B	8,300	61.13	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	CP	B	5,000	129.35	n/a	11-Oct	250.00	5.0
⚡ BUCK CAPITAL MGMT		CRMB	S	100,000	1.06	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	CSX	B	30,000	25.45	17-Oct	17-Oct	1,500.00	5.0
FRED ALGER MGMT	300	CVS	B	76,035	59.07	n/a	n/a	2,737.26	4.0
S.A.C. CAPITAL	044	CX	SS	15,000	10.56	n/a	n/a	450.00	3.0
S.A.C. CAPITAL	044	DE	SS	5,000	83.72	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		DGX	B	8,700	57.82	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	DKS	SS	40,000	51.82	n/a	16-Oct	1,200.00	3.0
Õ Larry Leeds		DLIA	S	10000	1.14	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DSW	S	10,000	81.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	S	15,000	81.27	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		DSW	S	25,000	81.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DVN	S	29,384	62.60	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	ENX	B	4500	11.32	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ETY	B	8000	10.64	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	EWJ	SS	40,000	12.05	n/a	n/a	1,200.00	3.0
ARDSLEY PARTNERS	280	FBHS	SS	10,000	38.03	n/a	n/a	500.00	5.0
ELM RIDGE ADVISORS	044	FCS	B	25,000	12.59	n/a	n/a	1,000.00	4.0
INTERVAL PARTNERS	033	FOSL	S	2,500	120.40	n/a	n/a	75.00	3.0
S.A.C. CAPITAL	044	FOSL	S	55,000	120.50	n/a	n/a	1,650.00	3.0
T. ROWE PRICE	243	FOSL	B	66,280	120.24	n/a	n/a	2,651.20	4.0
S.A.C. CAPITAL	044	FXI	SS	15,000	38.06	n/a	n/a	450.00	3.0
FIRST NY SEC/CHRIS	041	F	SS	50,000	17.42	n/a	17-Oct	2,500.00	5.0
CAISSE DEPOT PLACEMENT Q	257	GMCR	S	75,000	64.01	n/a	n/a	3,750.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	100,000	35.33	n/a	17-Oct	3,000.00	3.0
YG PARTNERS LLC	041	GM	B	10,000	35.38	n/a	17-Oct	400.00	4.0
SANDLER O'NEILL ASSET	031	GS	B	15,000	157.96	n/a	17-Oct	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>10,000</b>	<b>62.88</b>	<b>n/a</b>	<b>17-Oct</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	HBI	S	5,000	63.00	n/a	17-Oct	200.00	4.0
NOKOMIS PARTNERS	031	HCOM	S	4,485	27.02	n/a	n/a	134.55	3.0
FRED ALGER MGMT	300	IBM	S	188,982	174.60	n/a	n/a	6,803.36	4.0
BADGE CAPITAL	030	IRET	S	2,000	8.89	n/a	n/a	60.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ISRG</b>	<b>S</b>	<b>10</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	ITB	B	50,000	22.11	n/a	n/a	1,500.00	3.0
S.A.C. CAPITAL	044	KBH	B	10,000	17.01	n/a	n/a	300.00	3.0
FRED ALGER MGMT	300	LECO	S	130	68.46	n/a	n/a	4.68	4.0
S.A.C. CAPITAL	044	LEN	B	10,000	35.30	n/a	n/a	300.00	3.0
VERITION	028	LEN	SS	7,500	34.69	n/a	n/a	225.00	3.0
<b>f AMY O ROGERS</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>10</b>	<b>51.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>12</b>	<b>50.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTINA G ROGERS T</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>10</b>	<b>51.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>250</b>	<b>50.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRED ALGER MGMT	300	LII	S	185	73.57	n/a	n/a	6.66	4.0
FRED ALGER MGMT	300	LKQ	S	170	32.00	n/a	n/a	6.12	4.0
ASCEND PARTNERS	033	LLY	B	250,000	49.56	n/a	n/a	7,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	LL	S	85	106.51	n/a	n/a	3.06	4.0
WELLSPRING CAPITAL	093	MASI	B	10,000	28.24	n/a	n/a	400.00	4.0
<b>f GERALD EPHRAM COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>B</b>	<b>150</b>	<b>33.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	070	MU	B	25,000	16.87	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	M	B	27,700	43.64	30-Sep	30-Sep	1,385.00	5.0
HALCYON LLC	041	NCT	S	85,000	5.80	n/a	n/a	1,700.00	2.0
WELLSPRING CAPITAL	093	NVDQ	B	20,000	17.00	n/a	n/a	800.00	4.0
CADIAN CAPITAL	041	ORLY	S	10,500	134.85	n/a	n/a	315.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>20,000</b>	<b>71.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>7,000</b>	<b>71.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT (JMP)	029	PETM	SS	5,000	70.72	n/a	n/a	250.00	5.0
LAKEWOOD CAPITAL MGMT	085	PRKR	C	50,000	5.49	n/a	n/a	1,500.00	3.0
FIRST NEW YORK	086	RAD	B	20,000	5.31	n/a	n/a	800.00	4.0
S.A.C. CAPITAL	044	RIO	SS	30,000	51.53	n/a	n/a	900.00	3.0
S.A.C. CAPITAL	044	RLGY	B	5,000	43.78	n/a	n/a	150.00	3.0
FIRST NY SEC/CHRIS	041	RL	B	5,000	160.34	n/a	17-Oct	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEXFORD CAPITAL	284	RL	B	5,000	159.12	n/a	17-Oct	150.00	3.0
FRED ALGER MGMT	300	SBNY	S	105	96.31	n/a	n/a	3.78	4.0
FRED ALGER MGMT	300	SCI	S	475	18.73	n/a	n/a	17.10	4.0
⌘ BUCK CAPITAL MGMT		SCSS	S	100,000	18.48	n/a	n/a	non-brg	3.0
FRED ALGER MGMT	300	SEIC	S	300	32.17	n/a	n/a	10.80	4.0
COHE & STEERS	041	SHO	S	51,396	13.15	n/a	n/a	1,541.88	3.0
FRED ALGER MGMT	300	SKT	S	280	34.30	n/a	n/a	10.08	4.0
GALT INVESTMENT	041	SKX	S	20,000	28.90	n/a	n/a	1,000.00	5.0
FRED ALGER MGMT	300	SM	S	155	85.28	n/a	n/a	5.58	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	10,000	20.21	30-Sep	30-Sep	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SSI	S	3,500	20.10	30-Sep	30-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	33,500	20.08	30-Sep	30-Sep	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SSI	S	40,000	20.11	30-Sep	30-Sep	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SSI	S	56,500	20.08	30-Sep	30-Sep	non-brg	0.8
WELLSPRING CAPITAL	093	SWY	S	15,000	33.10	n/a	n/a	600.00	4.0
BRIGADE CAPITAL MGMT	029	TAST	B	28,161	5.50	n/a	n/a	844.83	3.0
VERITION	028	TOL	SS	10,000	31.64	n/a	n/a	300.00	3.0
FRED ALGER MGMT	300	TSS	S	400	29.94	n/a	n/a	14.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYVOR CAPITAL LLC	031	TUMI	S	3,465	20.79	n/a	n/a	103.95	3.0
J. GOLDMAN	028	UAL	B	50,000	31.05	27-Sep	9-Oct	2,000.00	4.0
KINGDON ASSET MGMT	041	UAL	S	50,000	31.10	27-Sep	9-Oct	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	UNP	S	10,000	151.46	n/a	4-Oct	500.00	5.0
KINGDON ASSET MGMT	041	URBN	SS	55,300	36.17	n/a	n/a	2,212.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URI</b>	<b>S</b>	<b>8,500</b>	<b>60.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KADE CAPITAL LLC	028	USB	B	16,000	37.52	n/a	n/a	640.00	4.0
LOMAS CAPITAL	040	USB	B	41,000	37.29	n/a	n/a	1,230.00	3.0
MERRILL ASSET/BLACKROCK	085	USB	S	572,838	37.47	n/a	n/a	22,913.52	4.0
J. GOLDMAN	028	UTX	SS	12,500	107.78	n/a	n/a	500.00	4.0
S.A.C. CAPITAL	044	UTX	SS	7,500	107.53	n/a	n/a	225.00	3.0
KEYGROUP/KGLT	040	VLO	B	25,000	38.30	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>V</b>	<b>S</b>	<b>2,500</b>	<b>198.03</b>	<b>25-Sep</b>	<b>14-Oct</b>	<b>non-brg</b>	<b>3.0</b>
CADIAN CAPITAL	041	WFM	C	24,000	63.27	n/a	n/a	720.00	3.0
ARDSLEY PARTNERS	280	WSM	SS	10,000	52.41	n/a	n/a	500.00	5.0
HARVEST MGMT (JMP)	029	WSM	SS	5,000	52.44	n/a	n/a	250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>100,832.76</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/16	NEWLAND CAPITAL MGT	025	MCP	S	25,000	5.24	n/a	n/a	750.00 3.0
AO,CXL	10/16	NEWLAND CAPITAL MGT	025	MCP	S	25,000	5.24	n/a	n/a	1000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-250.00</b>
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TOTAL (Trade Date) :	100,832.76
TOTAL (AO, CXL, CRT) :	-250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>100,582.76</b>
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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 17-Oct.

CSX

MRI Securities without Trade Activity on 17-Oct.

AF

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)**