



# Daily Compliance Activity Report

Trade Date: 12/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ADT</b>	<b>S</b>	<b>100</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>15,000</b>	<b>14.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>15.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ALK</b>	<b>SS</b>	<b>35,000</b>	<b>72.86</b>	<b>15-Nov</b>	<b>25-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>ANF</b>	<b>S</b>	<b>995</b>	<b>34.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	ANF	SS	25,000	35.07	n/a	n/a	750.00	3.0
SCOPUS FUND	041	ANN	S	25,000	34.15	n/a	n/a	1,000.00	4.0
STATE TEACHERS RET SYS	047	ATVI	S	22,200	17.03	n/a	n/a	1,110.00	5.0
SCOPUS FUND	041	AXL	B	40,000	20.24	n/a	5-Dec	1,600.00	4.0
TROUBH PART	070	AXL	B	25,000	20.22	n/a	5-Dec	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>BBBY</b>	<b>SS</b>	<b>6,500</b>	<b>78.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> CICYLY S BACKUS	<b>FID</b>	<b>BBW</b>	<b>S</b>	<b>1000</b>	<b>8.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>BGC</b>	<b>B</b>	<b>5000</b>	<b>28.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>BGC</b>	<b>B</b>	<b>5000</b>	<b>28.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	BHI	B	20,000	53.55	n/a	n/a	800.00	4.0
S.A.C. CAPITAL	044	BIG	B	100,000	33.55	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO / M&I FUNDS	047	BONT	S	13,200	17.72	n/a	6-Dec	528.00	4.0
SAC CHRIS C	041	BSX	S	50,000	11.80	n/a	n/a	1,500.00	3.0
STATE TEACHERS RET SYS	047	CBG	S	32,100	25.10	n/a	n/a	1,605.00	5.0
COUGAR TRADING	044	CBK	S	10,000	7.06	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	COH	S	22,600	56.00	n/a	n/a	1,130.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>122,587</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
STATE TEACHERS RET SYS	047	CTRX	S	18,900	44.86	n/a	n/a	945.00	5.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1000</b>	<b>7.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>100</b>	<b>7.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRI SES INC</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1000</b>	<b>7.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>200</b>	<b>51.57</b>	<b>n/a</b>	<b>19-Nov</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	DD	B	5,000	60.70	n/a	n/a	150.00	3.0
ACK ASSET	028	DFRG	B	25,000	19.50	n/a	n/a	750.00	3.0
STATE TEACHERS RET SYS	047	DGX	S	24,000	60.17	n/a	n/a	1,200.00	5.0
WHITE PINE CAPITAL	030	DXLG	B	34,800	6.19	n/a	n/a	1,740.00	5.0
EPOCH INV MGMT	030	ECL	S	114,698	104.33	n/a	n/a	3,440.94	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	EPM	S	20,403	12.30	n/a	n/a	612.09	3.0
STATE TEACHERS RET SYS	047	GLW	S	52,600	16.98	n/a	n/a	2,630.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	39.96	n/a	6-Dec	300.00	3.0
STATE TEACHERS RET SYS	047	GM	S	35,800	40.02	n/a	6-Dec	1,790.00	5.0
TUDOR INVESTORS	028	GM	S	10,000	39.63	n/a	6-Dec	300.00	3.0
TIDE POINT CAPITAL	028	GPI	S	20,000	68.68	n/a	2-Dec	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>C</b>	<b>58,975</b>	<b>39.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TIEDEMANN/TIG ADVISORS LLC006	GTN		S	10,000	12.58	n/a	n/a	500.00	5.0
CORTEX CAPITAL	031	GWV	B	6,000	257.73	14-Nov	14-Nov	180.00	3.0
ASCEND PARTNERS	033	HBI	B	24,929	69.09	n/a	n/a	747.87	3.0
STATE TEACHERS RET SYS	047	HIG	S	35,200	35.91	n/a	n/a	1,760.00	5.0
SYMPHONY ASSET	033	JCP	SS	96,510	8.26	n/a	4-Dec	2,895.30	3.0
CADIAN CAPITAL	041	JWN	SS	17,000	60.27	15-Nov	2-Dec	510.00	3.0
ACK ASSET	028	KNX	B	20,000	18.15	n/a	n/a	600.00	3.0
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>200</b>	<b>54.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	LINTA	S	27,100	27.69	n/a	n/a	1,355.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNKD</b>	<b>S</b>	<b>10</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
INTERVAL PARTNERS	033	MGM	S	50,000	20.24	n/a	n/a	1,500.00	3.0
STATE TEACHERS RET SYS	047	MRK	S	66,100	49.21	n/a	n/a	3,305.00	5.0
STATE TEACHERS RET SYS	047	NEM	S	22,700	23.38	n/a	n/a	1,135.00	5.0
STATE TEACHERS RET SYS	047	NUAN	S	41,500	14.33	n/a	n/a	2,075.00	5.0
RBC CAPITAL MARKETS	040	OAS	B	20,000	45.02	n/a	n/a	800.00	4.0
COLUMBIA PARTNERS	028	ORCL	B	26,490	35.25	n/a	n/a	1,059.60	4.0
STATE TEACHERS RET SYS	047	PHM	S	33,200	18.32	n/a	n/a	1,660.00	5.0
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>PLD</b>	<b>S</b>	<b>2000</b>	<b>37.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RAD</b>	<b>S</b>	<b>100,000</b>	<b>5.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RAD</b>	<b>S</b>	<b>100,000</b>	<b>5.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RAD</b>	<b>S</b>	<b>100,000</b>	<b>5.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RAD</b>	<b>S</b>	<b>450,000</b>	<b>5.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RAD</b>	<b>S</b>	<b>67,000</b>	<b>5.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
FIRST NEW YORK	086	RAD	S	20,000	5.81	n/a	n/a	800.00	4.0
BARON ASSET MGMT*	006	RALY	B	70,000	19.32	n/a	n/a	2,100.00	3.0
PARKWEST	084	RM	S	10,000	32.94	n/a	n/a	400.00	4.0
ZWEIG FUNDS	006	SHPG	B	15,000	134.25	n/a	6-Dec	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MFP INVESTORS	085	TEVA	B	50,000	39.91	n/a	5-Dec	2,500.00	5.0
TROUBH PART	070	TEVA	S	20,000	39.84	n/a	5-Dec	1,000.00	5.0
STATE TEACHERS RET SYS	047	TRMB	S	23,200	32.66	n/a	n/a	1,160.00	5.0
TUDOR INVESTORS	028	TSN	S	5,000	33.55	n/a	n/a	150.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TWC</b>	<b>S</b>	<b>10</b>	<b>3.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHARTERBRIDGE CAPITAL	025	UA	SS	45,000	81.96	n/a	4-Dec	1,350.00	3.0
STATE TEACHERS RET SYS	047	WFC	S	42,100	43.89	n/a	15-Nov	2,105.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>WTSL</b>	<b>S</b>	<b>2000</b>	<b>2.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>WTSL</b>	<b>S</b>	<b>3750</b>	<b>2.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WTSL</b>	<b>S</b>	<b>27500</b>	<b>2.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EMPYREAN CAPITAL	084	XLE	SS	75,000	86.69	n/a	n/a	2,250.00	3.0
EMPYREAN CAPITAL	084	XOP	SS	70,000	67.83	n/a	n/a	2,100.00	3.0
CADIAN CAPITAL	041	XRT	SS	14,000	86.62	n/a	n/a	420.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>66,298.80</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/05	TIEDEMANN/TIG ADVISORS LLC	006	GTN	B	13,800	11.95	n/a	n/a	690.00 0.0
AO,CRT	12/05	TIEDEMANN/TIG ADVISORS LLC	006	GTN	B	13,800	11.95	n/a	n/a	690.00 0.0
AO,CXL	12/03	RIVERPARK CAPITAL	025	IMAX	B	17,890	28.72	n/a	n/a	894.50 0.0
AO,CRT	12/03	RIVERPARK CAPITAL	025	IMAX	B	17,890	28.72	n/a	n/a	894.50 0.0
AO,	12/05	TIDE POINT CAPITAL	028	LEA	S	10,000	81.35	n/a-2013-11-19		300.00 0.0
AO,CXL	12/05	TIDE POINT CAPITAL	028	LEA	S	10,000	81.35	n/a-2013-11-19		500.00 0.0
AO,CRT	12/05	STELLIAM INV ADV	086	LEN	B	17,500	34.24	n/a	n/a	700.00 4.0
AO,CXL	12/05	STELLIAM INV ADV	086	LEN	B	17,500	34.24	n/a	n/a	875.00 0.0
AO,	12/05	WILLIAMS TRADING/BLUE MTN	087	STWD	B	100,000	27.51	n/a	n/a	2000.00 0.0
AO,CXL	12/05	WILLIAMS TRADING/BLUE MTN	087	STWD	B	100,000	27.51	n/a	n/a	3000.00 0.0

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**TOTAL (AO, CXL, CRT) :****-1,375.00**

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**TOTAL (Trade Date) :****66,298.80****TOTAL (AO, CXL, CRT) :****-1,375.00**

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**TOTAL (RUN DATE) / NFS:****64,923.80**

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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 6-Dec.  
NONE

MRI Securities without Trade Activity on 6-Dec.  
DG, KSU, CP

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)**