



# Daily Compliance Activity Report

Trade Date: 12/03/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIMCO	084	AA	B	400,000	9.50	n/a	n/a	8,000.00	2.0
APEX CAPITAL MGMT.	033	AFSI	SS	28,700	40.47	n/a	n/a	1,148.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMZN</b>	<b>S</b>	<b>10,000</b>	<b>383.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARDSLEY PARTNERS	280	ARCP	B	200,000	13.31	n/a	n/a	10,000.00	5.0
CHARTERBRIDGE CAPITAL	025	AWAY	SS	10,000	36.81	n/a	n/a	300.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BAX</b>	<b>B</b>	<b>2000</b>	<b>67.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	BMV	S	7,500	51.31	n/a	n/a	225.00	3.0
TYVOR CAPITAL LLC	031	BURL	S	3,410	29.13	n/a	n/a	102.30	3.0
MOORE CAPITAL	257	CAT	SS	25,000	83.73	n/a	n/a	750.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COLM</b>	<b>S</b>	<b>1500</b>	<b>67.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>S</b>	<b>20,751</b>	<b>57.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>S</b>	<b>45,000</b>	<b>57.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	COST	S	70,000	123.26	n/a	n/a	2,800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>50,000</b>	<b>0.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
LEVIN CAPITAL STRATEGIES	041	C	SS	25,000	52.52	n/a	19-Nov	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	DAL	B	40,000	28.54	3-Dec	3-Dec	1,200.00	3.0
MATRIX ASSET ADV.	091	DD	B	1,000	60.92	n/a	n/a	40.00	4.0
MOORE CAPITAL	257	DE	SS	25,000	83.17	n/a	n/a	750.00	3.0
FARALLON CAP MGMT	040	DIS	B	10,001	69.44	n/a	n/a	400.04	4.0
PARKWEST	084	DLTR	SS	62,500	55.25	22-Nov	2-Dec	2,500.00	4.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>DVA</b>	<b>B</b>	<b>170</b>	<b>58.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TYVOR CAPITAL LLC	031	FIVE	B	2,361	50.48	n/a	n/a	70.83	3.0
CHART WELL ADV	028	FNSR	S	142,200	19.77	n/a	n/a	5,688.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FWM</b>	<b>S</b>	<b>3000</b>	<b>18.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	F	C	146,600	16.86	n/a	3-Dec	4,398.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>C</b>	<b>50,000</b>	<b>16.54</b>	<b>n/a</b>	<b>3-Dec</b>	<b>non-brg</b>	<b>3.0</b>
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	16.56	n/a	3-Dec	750.00	3.0
MOORE CAPITAL	257	F	SS	75,000	16.58	n/a	3-Dec	2,250.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	16.80	n/a	3-Dec	3,000.00	3.0
OZ MGMT	040	F	SS	250,000	16.85	n/a	3-Dec	7,500.00	3.0
PECONIC PARTNERS	036	F	C	300,000	17.06	n/a	3-Dec	15,000.00	5.0
COUGAR TRADING	044	GES	B	5,000	33.89	n/a	2-Dec	250.00	5.0
SCOPUS FUND	041	GIII	B	25,000	58.10	n/a	2-Dec	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>GME</b>	<b>S</b>	<b>100,000</b>	<b>45.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GME</b>	<b>S</b>	<b>140,400</b>	<b>45.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GME</b>	<b>S</b>	<b>50,000</b>	<b>45.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHARTERBRIDGE CAPITAL	025	GME	SS	15,000	46.19	n/a	n/a	450.00	3.0
CAERUS GLOBAL	041	GM	B	20,000	37.75	n/a	3-Dec	800.00	4.0
DELTEC ASSET MGMT.	040	GM	B	20,000	38.88	n/a	3-Dec	1,000.00	5.0
OZ MGMT	040	GM	B	344,961	38.03	n/a	3-Dec	10,348.83	3.0
RIDGECREST INV MGMT LLC	028	GM	S	5,000	37.99	n/a	3-Dec	200.00	4.0
SCOPUS FUND	041	GM	B	50,000	37.99	n/a	3-Dec	2,000.00	4.0
TUDOR INVESTORS	028	GM	S	10,000	38.77	n/a	3-Dec	300.00	3.0
INTERVAL PARTNERS	033	GPS	C	4,792	40.99	n/a	n/a	143.76	3.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>HLF</b>	<b>B</b>	<b>100</b>	<b>76.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIVERPARK CAPITAL	025	IMAX	B	23,674	28.72	n/a	n/a	1,183.70	5.0
APEX CAPITAL MGMT.	033	INTU	S	3,700	74.48	n/a	n/a	148.00	4.0
RIDGECREST INV MGMT LLC	028	IWM	B	5,000	111.65	n/a	n/a	200.00	4.0
COUGAR TRADING	044	JBLU	S	25,000	8.54	n/a	27-Nov	1,000.00	4.0
TYVOR CAPITAL LLC	031	JWN	B	6,072	61.65	15-Nov	2-Dec	182.16	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>KEG</b>	<b>S</b>	<b>130,000</b>	<b>7.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
LOMBARDIA CAP MGMT	084	KND	S	68,317	17.68	n/a	n/a	2,732.68	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	033	LL	SS	20,100	95.75	n/a	n/a	804.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>S</b>	<b>10,000</b>	<b>29.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>S</b>	<b>3,539</b>	<b>28.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
INTERVAL PARTNERS	033	MGM	S	40,000	19.32	n/a	n/a	1,200.00	3.0
JETSTREAM GLOBAL FUND LP	065	MOVE	S	31,300	14.81	n/a	n/a	1,565.00	5.0
LEVIN CAPITAL STRATEGIES	041	MRK	S	7,500	49.95	n/a	n/a	225.00	3.0
APEX CAPITAL MGMT.	033	MR	SS	30,900	41.34	n/a	n/a	1,236.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSAPF</b>	<b>SS</b>	<b>800,000</b>	<b>39.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.2</b>
SUFFOLK CAPITAL MGMT	040	MYL	S	8,000	43.73	n/a	18-Nov	320.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>NES</b>	<b>B</b>	<b>5000</b>	<b>15.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	033	PRGO	B	12,000	155.51	n/a	27-Nov	480.00	4.0
LIONEYE CAPITAL	040	QEP	B	20,000	32.54	n/a	n/a	1,000.00	5.0
TIEDEMANN/TIG ADVISORS LLC006		QLTY	S	10,000	12.52	n/a	n/a	30.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RKT</b>	<b>B</b>	<b>5,500</b>	<b>93.43</b>	<b>6-Nov</b>	<b>19-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SUFFOLK CAPITAL MGMT	040	RL	S	45,710	173.73	n/a	7-Nov	1,828.40	4.0
SURVEYOR CAPITAL	251	RL	B	19,413	174.00	n/a	7-Nov	776.52	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DPB CAPITAL	029	SIRI	B	5,000	3.75	n/a	n/a	250.00	5.0
SUFFOLK CAPITAL MGMT	040	SJM	B	3,500	104.97	n/a	n/a	140.00	4.0
RIDGECREST INV MGMT LLC	028	SPY	B	5,000	179.62	n/a	n/a	200.00	4.0
RIDGECREST INV MGMT LLC	028	TAN	B	15,000	37.73	n/a	n/a	600.00	4.0
LOMBARDIA CAP MGMT	084	TER	B	237,475	16.90	n/a	n/a	9,499.00	4.0
FOUNDRY PARTNERS LLC	030	TJX	S	15,425	62.18	20-Nov	20-Nov	617.00	4.0
KINGDON ASSET MGMT	041	TJX	S	127,000	62.27	20-Nov	20-Nov	5,080.00	4.0
TYVOR CAPITAL LLC	031	ULTA	B	32,000	125.17	n/a	n/a	960.00	3.0
APEX CAPITAL MGMT.	033	ULTI	C	6,500	153.67	n/a	n/a	260.00	4.0
SUFFOLK CAPITAL MGMT	040	UNH	B	43,550	73.34	n/a	n/a	1,742.00	4.0
MADISON ST PARTNERS LLC	046	WES	S	25,000	60.67	n/a	n/a	1,250.00	5.0
TYVOR CAPITAL LLC	031	YUM	B	20,000	75.67	n/a	n/a	600.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>120,224.22</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	COUGAR TRADING	044	CBK	B	10,000	6.15	n/a	n/a	400.00 0.0
AO,CXL	12/02	COUGAR TRADING	044	CBK	B	10,000	6.15	n/a	n/a	500.00 0.0
AO,CRT	11/25	FORTRESS INVESTMENT (US)	036	IR	B	9,205	55.12-2013-11-15-2013-11-19			368.20 4.0
AO,CRT	11/26	FORTRESS INVESTMENT (US)	036	IR	B	51,400	55.91-2013-11-15-2013-11-19			1028.00 2.0
AO,CXL	11/25	FORTRESS INVESTMENT (US)	036	IRWI	B	9,205	0.00	n/a	n/a	368.20 4.0
AO,CXL	11/26	FORTRESS INVESTMENT (US)	036	IRWI	B	51,400	0.00	n/a	n/a	1028.00 0.0
AO,CRT	12/02	COUGAR TRADING	044	JBLU	S	25,000	8.74	n/a-2013-11-27		1000.00 0.0
AO,CXL	12/02	COUGAR TRADING	044	JBLU	S	25,000	8.74	n/a-2013-11-27		1250.00 0.0
AO,	12/02	SHEFFIELD ASSET MGMT	031	RKT	B	36,000	94.77-2013-11-06-2013-11-19			1440.00 0.0
AO,CXL	12/02	STELLIAM INV ADV	086	TOL	B	20,000	33.90	n/a	n/a	1000.00 0.0
AO,CRT	12/02	STELLIAM INV ADV	086	TOL	B	20,000	33.90	n/a	n/a	800.00 4.0

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**TOTAL (AO, CXL, CRT) :****890.00**

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**TOTAL (Trade Date) :****120,224.22****TOTAL (AO, CXL, CRT) :****890.00**

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**TOTAL (RUN DATE) / NFS:****121,114.22**

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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 3-Dec.

DAL

MRI Securities without Trade Activity on 3-Dec.

MNK, MSM, SONC, FRX, ALGT

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)**