



Daily Compliance Activity Report

Trade Date: 08/20/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	S	30,000	16.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	70,000	16.34	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	AGG	B	2500	105.78	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	AGNC	S	36,904	21.52	n/a	n/a	1,476.16	4.0
JASON ERIC COHEN	FID	AGNC	B	750	20.92	n/a	n/a	0.00	0.0
SCOPUS FUND	041	ANN	B	25,000	33.45	n/a	n/a	1,000.00	4.0
DAVID GEORGE BUCK	FID	ARE	B	1000	62.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ARO	S	40,600	12.31	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	50,000	12.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	90,000	12.10	n/a	n/a	non-brg	4.0
JASON ERIC COHEN	FID	ARR	S	12	1.28	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	AXL	B	2,700	19.36	5-Aug	16-Aug	108.00	4.0
BUCK CAPITAL MGMT		BID	C	125,000	45.16	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BLMN	B	50,000	23.49	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	BWS	B	50,000	22.12	n/a	n/a	2,000.00	4.0
DAVID GEORGE BUCK	FID	CAH	S	20	0.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	CAT	S	3000	84.24	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	CFR	S	14,612	71.99	n/a	n/a	584.48	4.0
FIFTH THIRD BANK/FREEMAN	047	CTL	S	43,959	32.88	n/a	n/a	1,758.36	4.0
f JONATHAN RICHARD HAR	FID	CTRN	B	1500	14.00	n/a	n/a	0.00	0.0
RAINIER INV MGMT	033	CTRX	B	50,920	55.34	n/a	n/a	2,036.80	4.0
HOLLIS CAPITAL	033	CVC	S	5,000	18.31	n/a	n/a	250.00	5.0
RIDGECREST INV MGMT LLC	028	C	B	2,500	49.82	n/a	16-Aug	100.00	4.0
MASTERS CAPITAL MANAGE	025	DAL	B	25,000	19.11	25-Jul	19-Aug	1,000.00	4.0
WELLSPRING CAPITAL	093	DAL	B	20,000	19.48	25-Jul	19-Aug	800.00	4.0
B BUCK CAPITAL MGMT		DG	S	10,000	53.81	n/a	n/a	non-brg	4.0
f KATHLEEN M CLARKE	FID	DIS	B	50	62.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DKS	B	10,400	48.11	n/a	20-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	10,400	48.11	n/a	20-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	11,000	47.42	n/a	20-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	11,000	47.42	n/a	20-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		DKS	B	40,000	47.31	n/a	20-Aug	non-brg	4.0
CORNERSTONE	030	DKS	S	17,787	47.96	n/a	20-Aug	533.61	3.0
KEY ASSET MGMT/VICTORY	220	DKS	B	159,402	47.85	n/a	20-Aug	6,376.08	4.0
f DAVID GEORGE BUCK	FID	ETN	B	2000	65.37	n/a	5-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	FFIN	B	9,852	59.77	n/a	n/a	394.08	4.0
B BUCK CAPITAL MGMT		F	C	60,000	15.94	25-Jul	16-Aug	non-brg	4.0
BRONSON POINT	036	GM	B	25,000	34.71	n/a	16-Aug	750.00	3.0
TIDE POINT CAPITAL	028	GM	S	20,000	34.64	n/a	16-Aug	600.00	3.0
f HARALAMBOS EFSTATHI	FID	GOL	B	3000	3.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	B	4,700	59.41	31-Jul	24-Jul	non-brg	4.0
WAGONHOUND/NICOLAS	033	HBI	B	3,982	60.07	31-Jul	24-Jul	159.28	4.0
STANDARD PACIFIC CAPITAL	084	HDS	S	80,240	23.08	n/a	n/a	4,012.00	5.0
TUDOR INVESTORS	028	ITB	SS	10,000	20.71	n/a	n/a	300.00	3.0
f CHRISTOPHER ROBERT C	FID	IWM	B	50	101.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	80,000	6.27	n/a	19-Aug	non-brg	3.0
WELLSPRING CAPITAL	093	JBLU	B	30,000	6.26	n/a	19-Aug	1,200.00	4.0
BERYLSON CAPITAL	030	JCP	B	257,200	13.39	n/a	20-Aug	7,716.00	3.0
B BUCK CAPITAL MGMT		JCP	B	20,000	13.19	n/a	20-Aug	non-brg	4.0
CENTURION PARTNERS	041	JCP	B	50,000	13.06	n/a	20-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	085	JLL	B	46,900	85.52	n/a	n/a	1,876.00	4.0
B BUCK CAPITAL MGMT		KMX	B	10,000	48.08	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		KMX	B	65,000	48.19	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MASTERS CAPITAL MANAGE	025	LCC	B	30,000	15.81	25-Jul	19-Aug	1,200.00	4.0
INTERVAL PARTNERS	033	LOW	B	71,000	44.15	n/a	n/a	2,130.00	3.0
CAPITAL WORLD	084	LUV	S	153,411	13.20	n/a	26-Jul	5,369.39	4.0
NEUBERGER BERMAN	036	LXU	S	14,781	30.72	n/a	n/a	591.24	4.0
SIGMA CAP BOBBY	044	MNK	B	20,000	43.03	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		MOH	B	15,000	35.04	n/a	n/a	non-brg	4.0
f KATHERINE L O'GORMAN	FID	MWO	S	2100	23.58	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	MWO	S	1900	23.58	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	M	B	25,000	45.43	15-Aug	14-Aug	1,250.00	5.0
INTERVAL PARTNERS	033	M	C	23,331	45.08	15-Aug	14-Aug	699.93	3.0
Õ Jack Chernus		NLSN	S	1000	33.95	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PEP	B	2000	80.61	n/a	n/a	0.00	0.0
CORNERSTONE	030	PVH	B	6,756	127.15	n/a	n/a	202.68	3.0
CAMBIAR CAP	046	RDEN	B	59,452	35.06	9-Aug	8-Aug	2,378.08	4.0
Õ Jack Chernus		SBUX	S	5	0.58	n/a	26-Jul	0.00	0.0
CYRUS CAPITAL	025	SEE	B	15,000	28.85	n/a	n/a	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		SHOO	C	30,000	53.99	n/a	n/a	non-brg	4.0
SIGMA CAP BOBBY	044	SNY	B	40,000	51.85	n/a	n/a	1,200.00	3.0
MOORE CAPITAL	257	SPY	B	200,000	165.23	n/a	n/a	6,000.00	3.0
⚡ BUCK CAPITAL MGMT		SSI	B	3,200	22.00	n/a	20-Aug	non-brg	2.0
⚡ BUCK CAPITAL MGMT		SSI	B	38,800	22.00	n/a	20-Aug	non-brg	4.0
KLEINHEINZ CAP PART	031	SU	SS	100,000	33.65	n/a	n/a	5,000.00	5.0
⚡ MARK DEVEREAUX KAICH	FID	TIVO	S	500	10.64	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	TMHC	S	14,000	20.09	n/a	n/a	560.00	4.0
CORTEX CAPITAL	031	TRLA	SS	8,000	43.06	n/a	n/a	240.00	3.0
RIDGECREST INV MGMT LLC	028	TRN	B	2,500	41.54	n/a	n/a	100.00	4.0
NEUBERGER BERMAN	036	TSS	S	12,975	28.20	n/a	n/a	519.00	4.0
⚡ BUCK CAPITAL MGMT		UCP	B	20,000	13.43	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	22,400	43.96	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	30,000	43.66	n/a	n/a	non-brg	4.0
KEYGROUP/KGLT	040	VALE	B	25,000	15.07	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	085	V	B	5,800	173.77	n/a	14-Aug	232.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WCIC	B	10,000	15.92	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		WYNN	B	30,000	140.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		XRT	C	50,000	79.96	n/a	n/a	non-brg	2.0
APEX CAPITAL MGMT.	033	ZNGA	B	300,000	2.75	n/a	n/a	6,000.00	2.0
WELLSPRING CAPITAL	093	ZNGA	B	30,000	2.80	n/a	n/a	1,200.00	4.0
TOTAL (Trade Date):								73,953.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/19	SCOPUS FUND	041	DG	B	118,800	53.98	n/a	n/a	4752.00 0.0
AO,CXL	08/19	SCOPUS FUND	041	DG	B	118,800	53.98	n/a	n/a	4752.00 0.0
AO,CXL	08/16	PEAK INV/OAKMONT/CYPRESS	084	LCC	S	50,600	16.16-2013-07-25-2013-08-19			2024.00 0.0
AO,	08/16	PEAK INV/OAKMONT/CYPRESS	084	LCC	S	50,600	16.16-2013-07-25-2013-08-19			2024.00 0.0
AO,CXL	08/19	KORT	025	SEE	B	30,000	28.88	n/a	n/a	900.00 0.0
AO,CRT	08/19	CYRUS CAPITAL	025	SEE	B	30,000	28.88	n/a	n/a	900.00 0.0
AO,CRT	08/16	TUDOR INVESTORS	028	TEX	B	5,000	31.98	n/a	n/a	150.00 0.0
AO,CXL	08/16	TUDOR INVESTORS	028	TEX	B	5,000	31.98	n/a	n/a	1.50 0.0
AO,CXL	08/16	KORT	025	WY	B	25,000	27.47	n/a-2013-08-16		750.00 0.0
AO,CRT	08/16	CYRUS CAPITAL	025	WY	B	25,000	27.47	n/a-2013-08-16		750.00 0.0

TOTAL (AO, CXL, CRT) :**148.50**

TOTAL (Trade Date):

73,953.17

TOTAL (AO, CXL, CRT):

148.50

TOTAL (RUN DATE) / NFS:**74,101.67**

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 20-Aug.
NONE

MRI Securities without Trade Activity on 20-Aug.
NONE

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)