



# Daily Compliance Activity Report

Trade Date: 09/30/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	ABBV	C	29,000	44.78	n/a	n/a	1,450.00	5.0
VISIUM/BALY BOBBY	044	ABC	C	33,000	61.06	n/a	n/a	1,650.00	5.0
VISIUM/BALY BOBBY	044	ABT	C	38,000	33.17	n/a	n/a	1,900.00	5.0
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>AEMSX</b>	<b>B</b>	<b>29</b>	<b>14.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J. GOLDMAN	028	ALV	B	30,000	87.47	n/a	18-Sep	1,200.00	4.0
PECONIC PARTNERS	036	AXL	B	170,000	19.76	n/a	18-Sep	8,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>50,000</b>	<b>37.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	BK	SS	4,900	30.24	n/a	26-Sep	245.00	5.0
RIDGECREST INV MGMT LLC	028	CGI	B	5,000	18.79	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	CHKP	B	91,350	56.48	n/a	n/a	2,740.50	3.0
KAM ADVISORS LLC	041	CHKP	C	20,900	56.56	n/a	n/a	627.00	3.0
KLEINHEINZ CAP PART	031	CHK	SS	225,000	25.78	n/a	n/a	11,250.00	5.0
HAHN CAPITAL MANAGEMENT	084	CIT	B	53,180	48.78	n/a	n/a	2,659.00	5.0
P.SCHOENFELD ASSET MGMT LLC	041	CNHI	S	150,000	12.92	n/a	n/a	6,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>35,000</b>	<b>60.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS	280	CTB	C	35,000	31.00	n/a	n/a	1,750.00	5.0
⚡ BUCK CAPITAL MGMT		DECK	S	80,900	65.55	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	B	9,500	52.96	n/a	25-Sep	non-brg	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		DORM		S	25,000	49.25	n/a	n/a	750.00 3.0
f MICHAEL MARRANO	FID	FHGX	B	35	12.77	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FINL	S	40,000	24.90	30-Sep	27-Sep	non-brg	4.0
DEPRINCE, RACE & ZOLLO	093	FINL	S	30,000	24.73	30-Sep	27-Sep	1,800.00	6.0
⚡ BUCK CAPITAL MGMT		FL	B	15,000	33.88	n/a	25-Sep	non-brg	4.0
f MICHAEL MARRANO	FID	FMIHX	S	51	20.52	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.10	n/a	n/a	750.00	3.0
⚡ BUCK CAPITAL MGMT		FRAN	S	30,000	18.64	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	S	50,000	18.64	n/a	n/a	non-brg	4.0
JETSTREAM GLOBAL FUND LP	065	FSLR	B	25,000	40.23	n/a	n/a	1,250.00	5.0
CAERUS GLOBAL	041	F	B	27,350	16.84	n/a	19-Sep	1,094.00	4.0
⚡ BUCK CAPITAL MGMT		GCO	B	7,500	64.69	n/a	n/a	non-brg	4.0
KINGDON ASSET MGMT	041	GM	S	100,000	35.92	n/a	30-Sep	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	GM	S	14,250	36.11	n/a	30-Sep	427.50	3.0
TIDE POINT CAPITAL	028	GM	B	10,000	36.21	n/a	30-Sep	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>12,500</b>	<b>40.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
DSG CAPITAL	030	GSVC	B	3,500	14.78	n/a	n/a	175.00	5.0
NOKOMIS PARTNERS	031	HCOM	S	600	26.95	n/a	n/a	12.00	2.0
BRANDWINE	028	HTZ	B	188,810	22.16	n/a	n/a	7,552.40	4.0
BALYASNY ASSET MGMT	044	IGT	S	220,000	19.01	n/a	n/a	11,000.00	5.0
PRIMECAP MGMT	084	IMGN	B	4,860	16.99	n/a	n/a	194.40	4.0
MERRILL ASSET/BLACKROCK	085	ITG	S	36,500	15.75	n/a	n/a	1,460.00	4.0
DC CAPITAL	044	JCP	B	150,000	8.99	27-Sep	30-Sep	4,500.00	3.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	56.01	n/a	30-Sep	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS 11 C65</b>	<b>C</b>	<b>180</b>	<b>10.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>250</b>	<b>43.02</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>43.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LPNT</b>	<b>B</b>	<b>11,000</b>	<b>45.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
S.A.C. CAPITAL	044	LPX	B	60,000	17.57	n/a	27-Sep	1,800.00	3.0
ROYSTONE CAPITAL	040	LYV	B	85,000	18.57	n/a	n/a	2,550.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	LYV	B	100,000	18.58	n/a	n/a	5,000.00	5.0
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>MCGFX</b>	<b>S</b>	<b>43</b>	<b>27.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>MIQBX</b>	<b>S</b>	<b>142</b>	<b>16.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	MR	C	22,000	38.90	n/a	n/a	660.00	3.0
RIDGECREST INV MGMT LLC	028	MWV	SS	2,500	38.21	n/a	n/a	100.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>11,500</b>	<b>43.01</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>non-brg</b>	<b>3.0</b>
WAGONHOUND/NICOLAS	033	M	S	10,543	43.13	30-Sep	30-Sep	421.72	4.0
SAGE ASSET MGMT	025	NAV	SS	7,500	36.74	n/a	24-Sep	375.00	5.0
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	70,000	6.07	n/a	n/a	1,400.00	2.0
FOCUSED INVESTORS	084	NKE	S	129,700	72.60	27-Sep	27-Sep	5,188.00	4.0
WINSLOW CAPITAL	030	NKE	B	397,500	72.65	27-Sep	27-Sep	11,925.00	3.0
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>OIBYX</b>	<b>B</b>	<b>180</b>	<b>6.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYMPHONY ASSET	033	PAG	SS	24,310	42.36	n/a	24-Sep	729.30	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>10,000</b>	<b>76.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KEY ASSET MGMT/VICTORY	220	PVH	B	62,730	118.83	n/a	11-Sep	2,509.20	4.0
SHEFFIELD ASSET MGMT	031	PVH	B	15,000	118.82	n/a	11-Sep	600.00	4.0
PRIMECAP MGMT	084	QGEN	B	11,400	21.59	n/a	n/a	456.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	RCL	B	8,500	38.01	n/a	n/a	255.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>RH</b>	<b>B</b>	<b>10,000</b>	<b>64.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SHEFFIELD ASSET MGMT	031	RKT	B	38,400	101.14	n/a	18-Sep	1,536.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBUX</b>	<b>B</b>	<b>30,000</b>	<b>76.77</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CASTLE ARK	031	SHW	B	27,320	181.49	n/a	n/a	1,092.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>13,500</b>	<b>71.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>16,500</b>	<b>71.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>SMAIX</b>	<b>B</b>	<b>244</b>	<b>4.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	168.21	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>30,000</b>	<b>19.54</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>4,500</b>	<b>19.58</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>non-brg</b>	<b>2.0</b>
COLUMBUS CAP MGMT LLC	084	SSI	SS	30,000	19.25	30-Sep	30-Sep	1,200.00	4.0
WHITE PINE CAPITAL	030	SSI	S	25,775	19.30	30-Sep	30-Sep	1,288.75	5.0
EPOCH INV MGMT	030	STX	B	31,500	43.62	n/a	n/a	945.00	3.0
TUDOR INVESTORS	028	ST	S	25,000	38.25	n/a	n/a	750.00	3.0
GATOR CAPITAL MGMT LLC	093	TFSL	B	10,440	11.92	n/a	n/a	313.20	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>SS</b>	<b>10,000</b>	<b>63.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>TPINX</b>	<b>S</b>	<b>157</b>	<b>12.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYMPHONY ASSET	033	UAM	B	9,359	7.63	n/a	n/a	280.77	3.0
ARDSLEY PARTNERS	280	VNDA	S	20,000	11.11	n/a	n/a	1,000.00	5.0
LOMAS CAPITAL	040	WFC	B	25,000	41.19	n/a	30-Sep	750.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	25,650	11.58	n/a	24-Sep	769.50	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WWW</b>	<b>C</b>	<b>22,400</b>	<b>57.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>XLFX</b>	<b>B</b>	<b>171</b>	<b>19.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	XLP	C	20,000	39.94	n/a	n/a	600.00	3.0
COLUMBUS CAP MGMT LLC	084	XOP	B	15,000	65.92	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>YUM</b>	<b>SS</b>	<b>20,000</b>	<b>71.56</b>	<b>9-Sep</b>	<b>9-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>TOTAL (Trade Date) :</b>								<b>121,682.04</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/27	SLS CAPITAL LLC	006	MSFT	B	53,424	33.36	n/a	n/a	2136.96 0.0
AO,CXL	09/27	SLS CAPITAL LLC	006	MSFT	B	53,424	33.36	n/a	n/a	2671.20 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-534.24</b>
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TOTAL (Trade Date) :	121,682.04
TOTAL (AO, CXL, CRT) :	-534.24

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>121,147.80</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 30-Sep.

FINL, M, SBUX, SSI

MRI Securities without Trade Activity on 30-Sep.

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)**