



# Daily Compliance Activity Report

Trade Date: 10/09/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	AA	SS	250,000	8.25	n/a	n/a	5,000.00	2.0
PRIMECAP MGMT	084	AFFX	B	20,734	6.31	n/a	n/a	622.02	3.0
CALA	041	AMAT	S	800,000	17.35	n/a	n/a	24,000.00	3.0
VISIUM/BALY BOBBY	044	AMD	S	150,000	3.61	n/a	n/a	4,500.00	3.0
GLG PARTNERS	280	AMRN	S	30,000	6.30	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		APC	B	170	92.90	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AXL	B	1,070	18.24	n/a	18-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AXP	B	210	72.32	n/a	9-Oct	non-brg	1.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	A	S	10,000	50.06	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		BAC	B	1,720	13.70	n/a	2-Oct	non-brg	1.0
BAIRD INVESTMENT	047	BA	S	50	114.99	2-Oct	7-Oct	2.50	5.0
⚡ BUCK CAPITAL MGMT		BBBY	SS	310	75.71	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BCC	B	830	24.94	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BHI	B	420	48.72	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BIG	SS	100	35.78	n/a	n/a	non-brg	1.0
f JONATHAN RICHARD HAR	FID	CACH	S	1000	5.50	n/a	n/a	0.00	0.0
BTG PACTUAL	040	CAKE	SS	15,000	42.69	n/a	n/a	450.00	3.0
⚡ BUCK CAPITAL MGMT		CAR	B	850	28.65	n/a	n/a	non-brg	1.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	40,443	2.66	n/a	n/a	808.86	2.0
LONG POND	029	CBG	B	200,000	22.35	n/a	n/a	8,000.00	4.0
⚡ BUCK CAPITAL MGMT		CERN	SS	330	53.31	n/a	n/a	non-brg	1.0
KEYGROUP/KGLT	040	CHK	SS	25,000	25.94	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		CNC	B	340	64.67	n/a	n/a	non-brg	1.0
INTERVAL PARTNERS	033	CNW	B	7,500	42.59	n/a	n/a	225.00	3.0
SASCO	033	CNX	B	240,000	35.00	n/a	n/a	8,400.00	4.0
SENATOR INVESTMENT GROUP	287	CNX	SS	500,000	35.07	n/a	n/a	15,000.00	3.0
⚡ BUCK CAPITAL MGMT		COF	B	320	67.98	n/a	9-Oct	non-brg	1.0
VISIUM/BALY BOBBY	044	COT	C	25,000	7.53	n/a	n/a	1,000.00	4.0
WHITE PINE CAPITAL	030	CUB	S	1,600	50.15	n/a	n/a	80.00	5.0
⚡ BUCK CAPITAL MGMT		C	B	270	48.11	n/a	4-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		DAL	B	460	24.25	n/a	9-Oct	non-brg 1.0
⌘ BUCK CAPITAL MGMT		DAL	SS	460	24.33	n/a	9-Oct	non-brg 1.0
INTERVAL PARTNERS	033	DAN	SS	25,000	21.50	n/a	18-Sep	750.00 3.0
BAIRD INVESTMENT	047	DE	S	150	82.82	n/a	n/a	7.50 5.0
⌘ BUCK CAPITAL MGMT		DFS	B	380	48.90	n/a	9-Oct	non-brg 1.0
⌘ BUCK CAPITAL MGMT		DGX	B	200	62.04	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		DG	B	210	56.33	n/a	17-Sep	non-brg 1.0
⌘ BUCK CAPITAL MGMT		DHI	B	920	18.06	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		DKS	B	310	51.63	n/a	8-Oct	non-brg 1.0
⌘ Larry Leeds		DLIA	S	6000	1.21	n/a	n/a	0.00 0.0
ADAGE CAPITAL MGMT	030	DRC	B	1,200	60.15	n/a	n/a	36.00 3.0
SENATOR INVESTMENT GROUP	287	DRC	SS	92,700	60.43	n/a	n/a	2,781.00 3.0
⌘ BUCK CAPITAL MGMT		DRI	C	25,000	49.29	23-Sep	23-Sep	non-brg 4.0
⌘ BUCK CAPITAL MGMT		DRI	C	25,000	49.46	23-Sep	23-Sep	non-brg 4.0
⌘ BUCK CAPITAL MGMT		DVN	B	130	58.15	n/a	n/a	non-brg 1.0
SOROS	274	DYAX	B	90,200	6.40	n/a	n/a	2,706.00 3.0
⌘ BUCK CAPITAL MGMT		EL	B	120	68.66	n/a	9-Oct	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	091	EMR	S	500	63.10	n/a	n/a	20.00	4.0
BAIRD INVESTMENT	047	EPD	S	100	59.28	n/a	n/a	5.00	5.0
⌘ BUCK CAPITAL MGMT		ETN	B	260	65.93	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FINL	B	440	23.52	30-Sep	8-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FL	B	430	32.50	n/a	8-Oct	non-brg	1.0
ROARING BLUE LION MGMT	031	FL	B	15,100	32.56	n/a	8-Oct	604.00	4.0
ROTHSCHILD ASSET	040	FMER	B	17,583	21.64	n/a	n/a	703.32	4.0
ADAGE CAPITAL MGMT	030	FNP	B	6,810	25.03	n/a	n/a	204.30	3.0
⌘ BUCK CAPITAL MGMT		FNP	B	190	25.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FRAN	B	550	17.90	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FTK	B	550	22.84	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FWM	B	150	23.28	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FWM	B	20,000	22.60	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		F	SS	610	16.50	n/a	8-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GCO	B	90	65.74	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GES	SS	310	28.83	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIII	B	90	51.59	n/a	3-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GM	B	810	34.29	n/a	8-Oct	non-brg	1.0
INTERVAL PARTNERS	033	GPI	C	17,000	67.02	11-Sep	18-Sep	510.00	3.0
⌘ BUCK CAPITAL MGMT		GPS	B	230	39.21	n/a	n/a	non-brg	1.0
CR INTRINIC INVESTMENT	044	GT	B	50,000	21.87	n/a	n/a	1,500.00	3.0
FORTRESS INVESTMENT (US)	036	GWW	B	15,200	252.41	n/a	12-Sep	304.00	2.0
⌘ BUCK CAPITAL MGMT		HAL	B	310	48.91	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HCA	B	450	45.92	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	047	HCN	S	75	61.61	n/a	n/a	3.75	5.0
⌘ BUCK CAPITAL MGMT		HDS	B	25,000	20.99	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HDS	B	700	21.08	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		HTZ	B	980	22.15	n/a	n/a	non-brg	1.0
SOROS	036	ICPT	B	10,800	59.18	n/a	n/a	432.00	4.0
⌘ BUCK CAPITAL MGMT		IJH	SS	640	122.52	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	B	120	43.21	n/a	18-Sep	non-brg	1.0
S.A.C. CAPITAL	044	ITB	SS	20,000	21.22	n/a	n/a	600.00	3.0
⌘ BUCK CAPITAL MGMT		IWM	SS	1,350	104.32	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	IWM	B	150,000	104.06	n/a	n/a	4,500.00	3.0
VISIUM/BALY BOBBY	044	IWM	C	150,000	104.04	n/a	n/a	7,500.00	5.0
⌘ BUCK CAPITAL MGMT		JBLU	B	4,610	6.68	n/a	30-Sep	non-brg	1.0
Õ Ryan Mueller		JCP	S	500	7.85	27-Sep	8-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		JIVE	B	1,440	12.24	n/a	n/a	non-brg	1.0
LONG POND	029	JLL	B	50,000	82.72	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		JPM	B	300	51.16	n/a	2-Oct	non-brg	1.0
LONG POND	029	KBH	B	100,000	16.75	n/a	n/a	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		KEG	B	1,440	7.09	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KMT	B	580	43.48	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	B	240	72.25	n/a	n/a	non-brg	1.0
TYVOR CAPITAL LLC	031	KORS	S	19,082	72.56	n/a	n/a	572.46	3.0
BAIRD INVESTMENT	047	KO	S	150	37.08	7-Oct	9-Oct	7.50	5.0
ADAGE CAPITAL MGMT	030	KR	B	39,107	40.14	n/a	n/a	1,173.21	3.0
⌘ BUCK CAPITAL MGMT		KSS	B	50,000	50.89	n/a	30-Sep	non-brg	4.0
SOROS	036	KYTH	B	15,300	46.22	n/a	n/a	612.00	4.0
⌘ BUCK CAPITAL MGMT		LDRH	B	1,000	15.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		LDRH	S	1,000	18.04	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		LEA	B	180	70.65	n/a	18-Sep	non-brg 1.0
PRIMECAP MGMT	084	LLY	B	11,870	47.58	n/a	n/a	474.80 4.0
TYVOR CAPITAL LLC	031	LO	B	8,000	44.18	n/a	n/a	240.00 3.0
BUCK CAPITAL MGMT		LPNT	B	150	48.26	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		LPX	B	890	17.14	n/a	9-Oct	non-brg 1.0
ROVER CAPITAL PARTNERS	040	MAR	B	3,500	41.43	n/a	n/a	140.00 4.0
CADIAN CAPITAL	041	MCD	SS	10,000	93.36	n/a	19-Sep	300.00 3.0
BUCK CAPITAL MGMT		MDY	SS	310	223.44	n/a	n/a	non-brg 1.0
VISIUM/BALY BOBBY	044	MGM	SS	50,000	20.04	n/a	n/a	2,500.00 5.0
BAIRD INVESTMENT	047	MMP	S	200	55.52	n/a	n/a	10.00 5.0
BUCK CAPITAL MGMT		MOH	B	560	34.89	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		MS	B	810	26.71	n/a	2-Oct	non-brg 1.0
BUCK CAPITAL MGMT		MWV	B	530	36.93	n/a	1-Oct	non-brg 1.0
BUCK CAPITAL MGMT		M	B	450	42.56	30-Sep	30-Sep	non-brg 1.0
BUCK CAPITAL MGMT		NCLH	B	320	30.15	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	243	NFLX	S	91,200	288.98	n/a	n/a	3,648.00	4.0
LEVIN CAPITAL STRATEGIES	041	NKE	C	11,430	70.63	27-Sep	8-Oct	342.90	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	NWSA	S	125,000	15.77		n/a	n/a	3,750.00 3.0
KLEINHEINZ CAP PART	031	OCN	S	20,000	52.31	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		PBPB	C	20,000	30.77	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PCLN	SS	30	995.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	SS	260	73.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	B	1,050	28.25	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PII	B	10,000	123.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	B	120	117.70	n/a	3-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	B	4,300	116.78	n/a	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	B	5,000	116.32	n/a	3-Oct	non-brg	4.0
PRIMECAP MGMT	084	QGEN	B	26,421	20.61	n/a	n/a	1,056.84	4.0
SYMPHONY ASSET	033	QQQ	SS	6,960	77.03	n/a	n/a	208.80	3.0
ß BUCK CAPITAL MGMT		RAD	B	8,540	5.02	n/a	n/a	non-brg	1.0
FIRST NEW YORK	086	RAD	S	40,000	4.86	n/a	n/a	2,000.00	5.0
HOLLIS CAPITAL	033	RDC	S	5,000	35.93	n/a	n/a	250.00	5.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		RDN	B	880	13.35	n/a	n/a	non-brg	1.0
FEDERATED INV/KAUFMAN	029	RHT	S	70,000	43.21	n/a	n/a	3,500.00	5.0
ß BUCK CAPITAL MGMT		RH	B	10,000	60.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	20,000	60.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	B	3,000	161.17	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	B	30	159.83	n/a	23-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		R	B	230	57.59	n/a	30-Sep	non-brg	1.0
ACK ASSET	028	SFXE	S	3,000	12.41	n/a	n/a	90.00	3.0
ß BUCK CAPITAL MGMT		SFXE	B	1,000	13.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		SFXE	S	1,000	11.69	n/a	n/a	non-brg	2.5
PRIMECAP MGMT	084	SGEN	B	2,246	38.90	n/a	n/a	89.84	4.0
CADIAN CAPITAL	041	SHW	S	4,500	175.40	n/a	n/a	135.00	3.0
ß BUCK CAPITAL MGMT		SIG	B	10,000	69.96	n/a	n/a	non-brg	4.0
DPB CAPITAL	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		SLM	B	290	24.39	n/a	9-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		SPN	B	710	24.85	n/a	n/a	non-brg	1.0
SOROS	036	SPY	SS	8,000	165.42	n/a	n/a	240.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SSI	B	580	19.57	30-Sep	30-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		STT	B	390	64.90	n/a	2-Oct	non-brg	1.0
TUDOR INVESTORS	028	ST	S	10,000	38.09	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		SWN	B	220	35.48	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	047	T	S	100	34.05	n/a	n/a	5.00	5.0
ß BUCK CAPITAL MGMT		UCP	B	870	14.80	n/a	n/a	non-brg	1.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ULTI	S	8,676	138.00		n/a	n/a	260.28 3.0
ß BUCK CAPITAL MGMT		URBN	B	480	35.19	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	B	290	56.45	n/a	n/a	non-brg	1.0
f LEE F BACKUS	FID	VAC	B	5000	44.82	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VMC	B	340	51.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		V	B	50	183.00	25-Sep	3-Oct	non-brg	1.0
FORTRESS INVESTMENT (US)	036	WCC	B	27,000	73.88	n/a	n/a	540.00	2.0
ß BUCK CAPITAL MGMT		WCIC	B	770	17.04	n/a	n/a	non-brg	1.0
SYMPHONY ASSET	033	WFM	SS	13,980	58.27	n/a	n/a	419.40	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>WGO</b>	<b>B</b>	<b>270</b>	<b>25.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BAIRD INVESTMENT	047	WM	S	100	40.44	n/a	n/a	5.00	5.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>WTSL</b>	<b>B</b>	<b>2424</b>	<b>3.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	WY	S	716	28.18	n/a	9-Oct	28.64	4.0
S.A.C. CAPITAL	044	XLU	SS	350,000	37.44	n/a	n/a	10,500.00	3.0
SYMPHONY ASSET	033	XLU	C	25,051	37.71	n/a	n/a	751.53	3.0
BTG PACTUAL	040	YUM	B	5,000	66.05	8-Oct	9-Oct	150.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>YUM</b>	<b>C</b>	<b>20,000</b>	<b>65.73</b>	<b>8-Oct</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CASTLEROCK	040	YUM	B	23,000	65.75	8-Oct	9-Oct	920.00	4.0
OZ MGMT	040	YUM	C	50,767	65.63	8-Oct	9-Oct	1,523.01	3.0
MATRIX ASSET ADV.	091	ZMH	S	500	84.60	n/a	n/a	20.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>ZTS</b>	<b>B</b>	<b>660</b>	<b>31.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>		<b>B</b>	<b>30000</b>	<b>99.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>138,069.46</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									138,069.46
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									138,069.46

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 9-Oct.  
NONE

MRI Securities without Trade Activity on 9-Oct.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)