



Daily Compliance Activity Report

Trade Date: 10/02/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f YANAI A FRANK	FID	ADSK	S	500	42.46	n/a	n/a	0.00	0.0
MACELLUM CAPITAL	086	AEO	SS	147,000	13.93	n/a	n/a	4,410.00	3.0
SURVEYOR CAPITAL	251	AEO	B	62,550	13.95	n/a	n/a	1,251.00	2.0
PRIMECAP MGMT	084	AFFX	B	30,800	6.46	n/a	n/a	924.00	3.0
J. GOLDMAN	028	ALB	B	24,500	63.46	n/a	n/a	980.00	4.0
f CICILY S BACKUS	FID	AMGN	B	1000	113.47	n/a	n/a	0.00	0.0
f LBP ENTERPRI SES INC	FID	AMGN	B	1000	113.44	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	AMGN	B	1000	113.50	n/a	n/a	0.00	0.0
TYVOR CAPITAL LLC	031	ANF	B	15,000	35.69	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		AXL	B	25,000	19.48	n/a	18-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		BBY	B	50,000	37.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BURL	SS	25,000	24.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BURL	S	5,000	23.11	n/a	n/a	non-brg	2.5
PRIMECAP MGMT	084	CCL	B	6,000	32.49	n/a	n/a	240.00	4.0
BASSWOOD PARTNERS	267	CIT	S	49,013	49.27	n/a	n/a	1,960.52	4.0
KORTRIGHT CAPITAL PARTNERS	025	CLW	B	6,721	48.11	n/a	n/a	201.63	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORTEX CAPITAL	031	CLX	SS	10,000	81.57	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	085	COF	B	6,700	69.21	n/a	26-Sep	268.00	4.0
f LEE F BACKUS	FID	DLA	S	2000	17.48	n/a	n/a	0.00	0.0
TROUBH PART	070	DTV	B	5,000	59.66	n/a	n/a	250.00	5.0
S.A.C. CAPITAL	044	ENDP	B	15,000	46.66	16-Sep	19-Sep	450.00	3.0
TROUBH PART	070	FB	SS	10,000	50.10	n/a	n/a	500.00	5.0
TYVOR CAPITAL LLC	031	FIVE	S	10,000	46.17	10-Sep	10-Sep	300.00	3.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.55	n/a	n/a	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	17.09	n/a	1-Oct	750.00	3.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	24.24	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		GM	B	15,000	35.50	n/a	2-Oct	non-brg	4.0
COBALT	041	GM	S	320,000	35.45	n/a	2-Oct	12,800.00	4.0
GABELLI FUNDS	025	GM	B	26,800	35.68	n/a	2-Oct	804.00	3.0
TIDE POINT CAPITAL	028	GM	B	20,000	35.73	n/a	2-Oct	600.00	3.0
LISTED ERR	099	GM	B	6,445	35.53	n/a	2-Oct	0.00	0.0
LISTED ERR	099	GM	S	6,445	35.55	n/a	2-Oct	0.00	0.0
CR INTRINIC INVESTMENT	044	GPS	SS	20,000	40.33	n/a	n/a	600.00	3.0
SANDLER CAPITAL	028	GPS	C	165,500	40.48	n/a	n/a	8,275.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	HCOM	S	1,101	26.98	n/a	n/a	33.03	3.0
f LEE F BACKUS	FID	JCI	S	2000	41.32	n/a	24-Sep	0.00	0.0
PAULSON & CO INC	041	LEAP	S	80,000	15.85	n/a	n/a	2,400.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	70,000	18.01	n/a	2-Oct	3,500.00	5.0
SENATOR INVESTMENT GROUP	287	MSFT	B	200,000	33.61	n/a	n/a	6,000.00	3.0
RIDGECREST INV MGMT LLC	028	MWV	SS	5,000	38.03	n/a	1-Oct	200.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	43.90	30-Sep	30-Sep	1,000.00	5.0
CR INTRINIC INVESTMENT	044	M	B	10,000	43.91	30-Sep	30-Sep	300.00	3.0
B BUCK CAPITAL MGMT		NCLH	S	30,000	30.96	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		NCLH	S	70,386	31.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NCLH	S	86,100	30.70	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	NKTR	B	22,000	10.29	n/a	n/a	880.00	4.0
B BUCK CAPITAL MGMT		PCLN	C	2,000	1066.97	n/a	n/a	non-brg	4.0
f ANTHONY SUTERA	FID	PCYO	B	1200	4.95	n/a	n/a	0.00	0.0
COHE & STEERS	041	PLD	B	97,755	38.82	n/a	n/a	3,910.20	4.0
LATEEF MGMT	033	POT	B	750	32.72	n/a	n/a	75.00	10.0
KLEINHEINZ CAP PART	031	PTEN	B	75,000	22.33	n/a	n/a	3,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		RAD	B	250,000	4.55	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		RAD	B	250,000	4.55	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		RH	B	10,000	63.81	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	B	20,000	64.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	B	10,000	162.63	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		RMAX	S	2,500	26.86	n/a	n/a	non-brg	2.5
Õ Jack Chernus		SAVE	B	1000	34.80	n/a	30-Sep	0.00	0.0
Õ Jack Chernus		SAVE	B	300	34.80	n/a	30-Sep	0.00	0.0
Õ Jack Chernus		SAVE	B	400	34.80	n/a	30-Sep	0.00	0.0
Õ Jack Chernus		SAVE	B	400	34.80	n/a	30-Sep	0.00	0.0
Õ Jack Chernus		SAVE	B	500	34.60	n/a	30-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		SBUX	B	10,000	76.29	30-Sep	30-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	10,000	71.59	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS	280	SLXP	B	20,000	72.56	n/a	2-Oct	1,000.00	5.0
TUDOR INVESTORS	028	ST	S	15,000	37.82	n/a	n/a	450.00	3.0
BRONSON POINT	036	S	SS	200,000	6.26	n/a	n/a	6,000.00	3.0
ß BUCK CAPITAL MGMT		TGT	SS	10,000	63.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WGO	S	13,800	26.73	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		WGO	S	5,000	26.92	n/a	n/a	non-brg	4.0
	SYMPHONY ASSET	033	WHR	B	7,293	140.99	n/a	n/a	218.79	3.0
f	IAN L MILLER	FID	WLT	S	45	14.20	n/a	n/a	0.00	0.0
	KORTRIGHT CAPITAL PARTNERS	025	WY	B	20,000	28.85	n/a	2-Oct	600.00	3.0
	S.A.C. CAPITAL	044	XLI	B	60,000	46.29	n/a	n/a	1,800.00	3.0
f	DOUGLAS R ROGERS	FID		B	40000	101.75	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									70,431.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	10/01	GEORGE WEISS	278	JCI	SS	5,000	41.45	n/a-2013-09-24	150.00 0.0
AO,CRT	10/01	VERITION	028	JCI	SS	5,000	41.45	n/a-2013-09-24	150.00 0.0
AO,CRT	10/01	CAPITAL GROWTH MGMT.	241	KOG	B	50,000	12.48	n/a n/a	2000.00 0.0
AO,CXL	10/01	CAPITAL GROWTH MGMT.	241	KOG	B	50,000	12.48	n/a n/a	2500.00 0.0
AO,CXL	10/01	SHEFFIELD ASSET MGMT	031	RKT	B	20,000	104.10	n/a-2013-09-18	1000.00 0.0
AO,CRT	10/01	SHEFFIELD ASSET MGMT	031	RKT	B	20,000	104.10	n/a-2013-09-18	800.00 4.0
AO,	10/01	TUDOR INVESTORS	028	ST	S	11,000	38.38	n/a n/a	330.00 0.0
AO,CXL	10/01	TUDOR INVESTORS	028	ST	S	11,000	38.38	n/a n/a	330.00 0.0

TOTAL (AO, CXL, CRT) :	-700.00
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TOTAL (Trade Date) :	70,431.17
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TOTAL (AO, CXL, CRT) :	-700.00
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TOTAL (RUN DATE) / NFS :	69,731.17
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/01	BUCK CAPITAL MGMT	BURL	B	5,000	17.00	n/a	n/a	0.00	0.0
AO	10/01	BUCK CAPITAL MGMT	RMAX	B	2,500	22.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 2-Oct.
NONE

MRI Securities without Trade Activity on 2-Oct.
BA

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)