



Daily Compliance Activity Report

Trade Date: 09/26/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ADT	S	25,000	42.28		n/a	n/a	750.00 3.0
TUDOR INVESTORS	028	ANR	B	5,000	6.29	n/a	n/a	150.00	3.0
S.A.C. CAPITAL	044	ARO	SS	20,000	9.58	n/a	n/a	600.00	3.0
SANDLER O'NEILL ASSET	031	AXP	S	10,200	76.40	n/a	26-Sep	510.00	5.0
ß BUCK CAPITAL MGMT		BBBY	SS	6,500	77.13	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	087	BBRY	B	40,000	7.95	n/a	n/a	2,000.00	5.0
ß BUCK CAPITAL MGMT		BIG	SS	14,000	37.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BLMN	B	45,000	23.22	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BLMN	B	5,000	23.13	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CAR	B	20,000	28.65	n/a	n/a	non-brg	4.0
f KAREN LYNNE FERENZO	FID	CELG	S	133	149.65	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		COH	SS	30,000	54.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	SS	9,200	54.50	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	DAL	B	100	23.91	n/a	16-Sep	0.00	0.0
TUDOR INVESTORS	028	DAN	SS	10,000	22.99	n/a	18-Sep	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	10,000	65.73	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	20,000	66.07	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EAT	SS	50,000	40.92	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)251	ELN		S	200,000	15.55		n/a	n/a	6,000.00 3.0
f DAVID GEORGE BUCK	FID	EL	S	3000	70.87	n/a	11-Sep	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040	EMN		B	10,000	77.97	n/a	n/a	300.00	3.0
ACK ASSET	028	FLOW	S	150,000	3.98	n/a	n/a	3,000.00	2.0
CAERUS GLOBAL	041	F	SS	44,472	17.19	n/a	19-Sep	1,778.88	4.0
OZ MGMT	040	F	C	74,749	17.25	n/a	19-Sep	2,242.47	3.0
PHILADELPHIA FINANCIAL	033	F	SS	100,000	17.17	n/a	19-Sep	4,000.00	4.0
WAGONHOUND/NICOLAS	033	F	SS	12,450	17.23	n/a	19-Sep	498.00	4.0
⚡ BUCK CAPITAL MGMT		GES	SS	17,000	30.37	29-Aug	29-Aug	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL040	GE		SS	40,000	24.07	n/a	n/a	1,200.00	3.0
⚡ BUCK CAPITAL MGMT		GIL	S	11,500	47.41	n/a	n/a	non-brg	4.0
Õ Jack Chernus		GM	S	15	0.85	n/a	25-Sep	0.00	0.0
ROSEDALE CAPITAL	046	GM	B	20,000	37.00	n/a	25-Sep	800.00	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	10,000	62.97	n/a	11-Sep	non-brg	4.0
NOKOMIS PARTNERS	031	HCOM	S	1,209	27.00	n/a	n/a	36.27	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	HD	B	90	75.72	n/a	n/a	3.24	4.0
B BUCK CAPITAL MGMT		HTZ	B	22,000	22.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HTZ	B	25,000	22.94	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		HTZ	B	45,000	22.38	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	HTZ	B	2,800	21.55	n/a	n/a	112.00	4.0
f MANNY I KORMAN	FID	HTZ	S	20000	22.57	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	HTZ	S	4000	22.56	n/a	n/a	0.00	0.0
ROVER CAPITAL PARTNERS	040	HTZ	S	5,000	21.61	n/a	n/a	200.00	4.0
SANDLER CAPITAL	028	H	S	209,000	44.03	n/a	n/a	10,450.00	5.0
MOORE CAPITAL	257	IP	S	50,000	47.15	n/a	18-Sep	1,500.00	3.0
f HARALAMBOS EFSTATHI	FID	JBLU	B	1000	6.77	n/a	9-Sep	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	JLL		B	4,408	87.92		n/a	n/a	132.24 3.0
B BUCK CAPITAL MGMT		KORS	S	7,000	73.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	SS	30,000	52.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	SS	9,600	52.06	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	KSS	SS	80,000	52.09	n/a	n/a	2,400.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	36.70	n/a	26-Sep	500.00	5.0
f DAVID GEORGE BUCK	FID	LMCA	B	600	147.66	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	17.23	n/a	25-Sep	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
GUGGENHEIM GLOBAL TRADING	(GGT)251	LVNTA	B	3,793	88.04		n/a	n/a	113.79	3.0	
ROVER CAPITAL PARTNERS	040	MGM	SS	5,000	20.25	n/a	n/a	200.00	4.0		
f DAVID GEORGE BUCK	FID	MPW	B	3000	12.30	n/a	n/a	0.00	0.0		
TUDOR INVESTORS	028	MTW	SS	10,000	19.50	n/a	n/a	300.00	3.0		
SCOPUS FUND	041	MWV	S	20,000	38.60	n/a	n/a	800.00	4.0		
f DAVID GEORGE BUCK	FID	NLY	B	3000	12.04	n/a	n/a	0.00	0.0		
SANDLER O'NEILL ASSET	031	NTRS	SS	9,931	55.31	n/a	26-Sep	496.55	5.0		
GUGGENHEIM GLOBAL TRADING	(GGT)251	NUAN	B	121,443	19.05		n/a	n/a	3,643.29	3.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	NWSA	B	40,000	16.35		n/a	n/a	1,200.00	3.0	
SCOPUS FUND	041	PCL	B	13,592	46.93	n/a	25-Sep	543.68	4.0		
f DAVID GEORGE BUCK	FID	PDII	B	6000	4.82	n/a	n/a	0.00	0.0		
B BUCK CAPITAL MGMT		PINC	B	1,000	27.00	n/a	n/a	non-brg	0.0		
B BUCK CAPITAL MGMT		PINC	S	1,000	31.00	n/a	n/a	non-brg	2.5		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PRIM		B	13,626	25.60		n/a	n/a	408.78	3.0
ASCEND PARTNERS	033	PVH	S	50,000	119.93	n/a	11-Sep	1,500.00	3.0		
KEY ASSET MGMT/VICTORY	220	PVH	B	84,920	119.88	n/a	11-Sep	3,396.80	4.0		

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RH	B	20,000	65.63	n/a	n/a	non-brg	4.0
CORVEX CAPITAL	041	SBGI	S	100,000	33.90	n/a	n/a	3,000.00	3.0
FIRST NEW YORK	086	SNV	B	20,000	3.28	n/a	n/a	800.00	4.0
KOLVEN CAPITAL	025	SPDC	B	5,000	3.24	n/a	n/a	150.00	3.0
CRAMER ROSENTHAL	070	STI	B	142,125	32.66	n/a	n/a	5,685.00	4.0
BRONSON POINT	036	S	SS	200,000	6.22	n/a	n/a	6,000.00	3.0
B BUCK CAPITAL MGMT		TDG	C	8,100	136.14	n/a	n/a	non-brg	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TLM	B	100,000	11.38		n/a	3,000.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TRIP		SS	4,000	75.47	n/a	120.00	3.0
PAR CAPITAL	029	TRIP	S	20,000	75.07	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	TRW	S	5,000	71.76	n/a	n/a	150.00	3.0
WAGONHOUND/NICOLAS	033	TRW	S	8,107	71.94	n/a	n/a	324.28	4.0
f MARC PAUL LUCHANSKY	FID	TSLA	B	10	188.50	n/a	n/a	0.00	0.0
OSTERWEIS CAPITAL	084	VIAB	S	36,640	83.50	n/a	n/a	1,832.00	5.0
STANDARD PACIFIC CAPITAL	084	VMC	B	18,000	51.97	n/a	n/a	900.00	5.0
EPOCH INV MGMT	030	VVC	S	25,269	33.46	n/a	n/a	758.07	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	WCIC	B	5,000	17.10	n/a	n/a	250.00	5.0
INTERVAL PARTNERS	033	WEN	SS	25,000	8.46	n/a	n/a	750.00	3.0
PRIMECAP MGMT	084	WFC	B	5,874	41.46	n/a	26-Sep	234.96	4.0
1798 CAP/LOMBARD ASSET	040	WLH	B	5,000	20.95	n/a	n/a	250.00	5.0
NORTHWESTERN MUTUAL LIFE	047	WLL	S	16,700	59.75	n/a	n/a	668.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	51,200	11.62	n/a	24-Sep	1,536.00	3.0
TUDOR INVESTORS	028	WR	B	5,000	30.89	n/a	n/a	150.00	3.0
STANDARD PACIFIC CAPITAL	084	WSM	SS	45,000	55.66	n/a	n/a	2,250.00	5.0
f KAREN LYNNE FERENZO	FID	WVALX	S	121	41.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WWW	C	20,000	57.58	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	XLU	SS	15,000	37.67	n/a	n/a	450.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	B	40,000	32.75		n/a	1,200.00	3.0
CASTLEROCK	040	YUM	SS	5,658	72.26	9-Sep	9-Sep	226.32	4.0
TOTAL (Trade Date):								84,300.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/25	HARVEST MGMT (JMP)	029	M	B	10,000	42.96	n/a	n/a	400.00 4.0
AO,CXL	09/25	HARVEST MGMT (JMP)	029	M	B	10,000	42.96	n/a	n/a	500.00 0.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	84,300.62
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	84,200.62
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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 26-Sep.
NONE

MRI Securities without Trade Activity on 26-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)