



Daily Compliance Activity Report

Trade Date: 10/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	B	10	6.47	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	AAPL	S	500	520.12	n/a	n/a	20.00	4.0
f DAVID GEORGE BUCK	FID	ARE	S	4000	65.55	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ARE	S	500	65.62	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ARE	S	500	65.54	n/a	n/a	0.00	0.0
DC CAPITAL	044	ATI	S	50,000	32.07	n/a	18-Oct	2,000.00	4.0
B BUCK CAPITAL MGMT		BHI	S	10,000	55.40	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	BID	B	12,370	52.22	n/a	n/a	445.32	4.0
f JOSEPH CIRO AMATURO	FID	BONT	B	4000	11.58	n/a	30-Sep	0.00	0.0
f DAVID GEORGE BUCK	FID	BOTA	S	4285	3.89	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	BRKB	B	5,000	116.50	n/a	n/a	200.00	4.0
J. GOLDMAN	028	CAB	S	45,250	63.54	n/a	n/a	1,810.00	4.0
NEUBERGER BERMAN	036	CAG	B	15,000	30.93	n/a	n/a	600.00	4.0
WILLIAMS TRADING/BBLUE MTN	087	CCL	B	47,710	33.09	n/a	n/a	1,431.30	3.0
COLUMBUS CIRCLE	036	CLDX	S	4,100	23.50	n/a	n/a	164.00	4.0
CALA	041	COH	S	45,000	53.65	n/a	17-Oct	1,350.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CRMB	S	50,000	1.25	n/a	n/a	non-brg	1.0
GALT INVESTMENT	041	CROX	S	5,633	13.71	n/a	n/a	225.32	4.0
NEUBERGER BERMAN	036	CVA	B	10,000	20.71	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	CVE	B	10,000	30.08	n/a	n/a	400.00	4.0
ALTIMETER CAPITAL MGMT.	029	DAL	SS	286,000	24.74	n/a	18-Oct	11,440.00	4.0
J. GOLDMAN	028	DKS	B	44,000	51.41	n/a	16-Oct	1,760.00	4.0
Ö Larry Leeds		DLIA	S	100000	1.14	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	DLR	S	5,100	56.00	n/a	n/a	204.00	4.0
B BUCK CAPITAL MGMT		DSW	B	50,000	80.59	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	DWRE	B	5,630	50.92	n/a	n/a	202.68	4.0
f DAVID GEORGE BUCK	FID	ENX	B	2000	11.53	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ENX	B	1000	11.53	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ETY	B	1000	10.72	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ETY	B	2000	10.70	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ETY	B	1000	10.70	n/a	n/a	0.00	0.0
ALTIMETER CAPITAL MGMT.	029	EXPE	B	50,000	48.10	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	FELE	S	19,344	38.85	n/a	n/a	773.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	FINL	S	28,000	24.51	30-Sep	16-Oct	1,120.00	4.0
f DAVID GEORGE BUCK	FID	FUD	B	3500	25.46	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FUD	B	500	25.45	n/a	n/a	0.00	0.0
SCOPUS FUND	041	F	B	100,000	17.46	n/a	21-Oct	4,000.00	4.0
LISTED ERR	099	F	B	64,759	17.52	n/a	21-Oct	0.00	0.0
LISTED ERR	099	F	S	64,759	17.47	n/a	21-Oct	0.00	0.0
f DAVID GEORGE BUCK	FID	GE	B	2000	26.20	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	GE	B	1000	26.15	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	GE	B	300	26.23	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	006	GRPN	B	49,000	10.60	n/a	n/a	1,470.00	3.0
f IAN L MILLER	FID	GURU	S	25	23.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	10,000	63.76	n/a	17-Oct	non-brg	4.0
NOKOMIS PARTNERS	031	HCOM	S	2,938	27.06	n/a	n/a	88.14	3.0
TUDOR INVESTORS	028	HON	B	10,000	84.59	n/a	21-Oct	300.00	3.0
NEUBERGER BERMAN	036	HRC	B	10,000	38.96	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		HTZ	S	20,000	23.74	n/a	n/a	non-brg	4.0
ALLIANZ/NICOLAS APPLGATE	084	IPG	S	66,900	15.80		n/a	n/a	0.00 0.0
HERRING CREEK CAPITAL	040	JBHT	B	26,700	75.38	n/a	16-Oct	801.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	JBLU	S	25,000	7.28	n/a	18-Oct	750.00	3.0
Ⓐ BUCK CAPITAL MGMT		JBLU	S	20,000	7.22	n/a	18-Oct	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		JBLU	S	48,600	7.29	n/a	18-Oct	non-brg	3.0
f FRANCIS MICHAEL MCCA	FID	JBLU	S	1000	7.28	n/a	18-Oct	0.00	0.0
NEUBERGER BERMAN	036	JPM	B	15,000	54.47	n/a	14-Oct	600.00	4.0
Ⓐ BUCK CAPITAL MGMT		LEN	S	30,000	34.62	n/a	n/a	non-brg	4.0
f ALICE BEEBE LONGLEY	FID	LQD	S	100	114.99	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		LTD	C	90,000	59.74	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		LZB	B	69,000	22.45	n/a	n/a	non-brg	4.0
CASTLEROCK	040	MCD	S	12,483	93.54	n/a	21-Oct	499.32	4.0
NEUBERGER BERMAN	036	MDLZ	B	10,000	32.37	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	NFG	S	5,000	69.51	n/a	n/a	200.00	4.0
f DAEIL CHA	FID	NFLX	B	1	353.78	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	NTRS	B	58,564	56.33	n/a	17-Oct	2,342.56	4.0
LATEEF MGMT	033	NUE	S	2,075	50.56	n/a	n/a	254.50	13.6
TUDOR INVESTORS	028	PH	SS	3,000	114.91	n/a	n/a	90.00	3.0
CASTLEROCK	040	PNRA	S	2,000	162.45	n/a	11-Oct	40.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	PNR	B	10,000	65.55	n/a	n/a	300.00	3.0
f JASON ERIC COHEN	FID	PSUN	S	1400	2.57	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	RL	B	7	163.70	n/a	17-Oct	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	60,000	18.32	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SIRO	B	2,000	70.00	n/a	n/a	100.00	5.0
KORTRIGHT CAPITAL PARTNERS	025	SON	SS	15,000	40.08	n/a	n/a	450.00	3.0
ROVER CAPITAL PARTNERS	040	SPY	SS	2,000	174.47	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		SSI	S	35,000	20.41	30-Sep	30-Sep	non-brg	4.0
ALTIMETER CAPITAL MGMT.	029	UAL	S	103,000	30.99	27-Sep	18-Oct	4,120.00	4.0
KEYGROUP/KGLT	040	UPL	SS	25,000	21.06	n/a	n/a	1,000.00	4.0
INTERVAL PARTNERS	033	URBN	B	20,000	36.49	n/a	n/a	600.00	3.0
SAGE ASSET MGMT	025	URI	S	4,200	64.34	n/a	n/a	210.00	5.0
f PATRICK O'GRADY	FID	VPCO	B	675	0.90	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	35	6.34	25-Sep	14-Oct	0.00	0.0
TYVOR CAPITAL LLC	031	WAG	B	5,000	58.54	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOSEPH CIRO AMATURO	FID	XOM	B	400	87.17	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								45,791.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/18	WOOSTER CAPITAL	044	GPK	B	100,000	8.70	n/a	n/a	5000.00 0.0
AO,CRT	10/18	WOOSTER CAPITAL	044	GPK	B	100,000	8.70	n/a	n/a	3000.00 3.0
AO,CXL	10/18	NEWLAND CAPITAL MGT	025	JBLU	S	30,000	7.29	n/a-2013-10-18		1200.00 0.0
AO,CRT	10/18	NEWLAND CAPITAL MGT	025	JBLU	S	30,000	7.29	n/a-2013-10-18		900.00 3.0
AO,CRT	10/18	CASTLEROCK	040	MCD	B	12,483	95.15	n/a-2013-10-21		499.32 0.0
AO,CXL	10/18	CASTLEROCK	040	MCD	B	12,483	95.15	n/a-2013-10-21		499.32 0.0

TOTAL (AO, CXL, CRT) :**-2,300.00**

TOTAL (Trade Date) :

45,791.90

TOTAL (AO, CXL, CRT) :

-2,300.00

TOTAL (RUN DATE) / NFS:**43,491.90**

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 21-Oct.
NONE

MRI Securities without Trade Activity on 21-Oct.
AOS, IR, CL, MS

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)