



Daily Compliance Activity Report

Trade Date: 08/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	AAPL	B	205	504.06	n/a	n/a	10.25	5.0
SIMMONS VENTURES	041	AAPL	S	405	503.21	n/a	n/a	20.25	5.0
TUDOR INVESTORS	028	ABX	B	5,000	19.41	n/a	n/a	150.00	3.0
f KEVIN MICHAEL O'GORM	FID	AMRN	B	10	1.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	130,700	46.82	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	ANW	S	25,000	8.79	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		ARO	S	100,000	11.51	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		ARO	S	311,500	11.52	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	AXL	B	35,000	19.78	5-Aug	16-Aug	1,400.00	4.0
B BUCK CAPITAL MGMT		BID	C	55,000	44.96	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	BONT	SS	120,000	14.42	7-Aug	7-Aug	3,600.00	3.0
SCOPUS FUND	041	BWS	B	30,000	22.47	n/a	n/a	1,200.00	4.0
f JONATHAN RICHARD HAR	FID	CACH	B	6000	4.52	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	CAKE	C	2,500	43.24	n/a	25-Jul	75.00	3.0
RIDGECREST INV MGMT LLC	028	CAR	S	5,000	28.20	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	070	CBS	S	72,310	50.90	n/a	n/a	2,603.16	4.0
MACELLUM CAPITAL	086	CHS	SS	35,000	15.75	n/a	n/a	1,050.00	3.0
EDGEWOOD	085	CMG	S	26,310	404.32	n/a	n/a	1,315.50	5.0
SENATOR INVESTMENT GROUP	287	COF	S	150,000	66.16	n/a	16-Aug	4,500.00	3.0
B BUCK CAPITAL MGMT		COST	B	50,000	112.04	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	COV	B	25	60.49	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	DBA	S	150	24.96	n/a	n/a	7.50	5.0
SCOPUS FUND	041	DLTR	B	45,000	51.84	n/a	15-Aug	1,800.00	4.0
PATTEN & PATTEN	025	EWA	S	300	23.50	n/a	n/a	15.00	5.0
NEUBERGER BERMAN	036	FFIN	B	5,648	59.55	n/a	n/a	225.92	4.0
f HARALAMBOS EFSTATHI	FID	GALE	B	3000	2.22	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	B	17,059	69.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	B	11,500	43.72	2-Aug	1-Aug	non-brg	4.0
TIDE POINT CAPITAL	028	GM	B	10,000	34.87	n/a	16-Aug	300.00	3.0
B BUCK CAPITAL MGMT		HAL	S	30,000	47.39	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		HBI	B	5,300	60.03	31-Jul	24-Jul	non-brg	4.0
PATTEN & PATTEN	025	HEDJ	B	25	51.44	n/a	n/a	1.25	5.0
f BRIAN P CLIFFORD	FID	HLF	B	15	1.49	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	HLF	B	30	2.14	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	HLF	B	10	3.51	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	INTC	B	500	22.16	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	IYR	SS	5,000	62.87	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		JWN	B	10,000	56.99	16-Aug	7-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KMX	B	75,000	48.05	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KORS	S	8,500	71.65	7-Aug	6-Aug	non-brg	4.0
FRED ALGER MGMT	070	LAMR	S	52,100	43.15	n/a	n/a	1,875.60	4.0
TIDE POINT CAPITAL	028	LEA	B	20,000	70.81	29-Jul	16-Aug	600.00	3.0
DC CAPITAL	044	LPX	B	50,000	15.13	n/a	21-Aug	2,000.00	4.0
MACELLUM CAPITAL	086	LTM	S	30,000	51.03	n/a	n/a	900.00	3.0
CAPITAL RESEARCH GROUP		296 LUV	S	146,589	13.15		n/a 26-Jul	5,130.62	4.0
SENATOR INVESTMENT GROUP	287	MET	B	225,000	47.85	n/a	n/a	6,750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		MVRX	SS	205,000	300.49	n/a	n/a	non-brg	24.0
BUCK CAPITAL MGMT		M	B	10,000	45.09	15-Aug	14-Aug	non-brg	4.0
BUCK CAPITAL MGMT		M	B	11,200	44.70	15-Aug	14-Aug	non-brg	4.0
CORNERSTONE	030	PVH	B	5,395	130.67	n/a	n/a	161.85	3.0
BUCK CAPITAL MGMT		RLGY	S	12,500	42.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ROST	B	100,000	67.74	n/a	7-Aug	non-brg	4.0
CORNERSTONE	030	SBUX	B	13,184	71.24	n/a	26-Jul	395.52	3.0
BARROW HANLEY MEWHINNEY	031	SE	S	382,200	33.61	n/a	n/a	13,377.00	4.0
SIMMONS VENTURES	041	SKX	SS	5,000	29.90	n/a	n/a	250.00	5.0
BTIG/MONT PELERIN	084	SNTS	B	6,015	24.95	n/a	n/a	240.60	4.0
YANAI A FRANK	FID	SWKS	B	425	24.81	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	TGT	C	50,000	65.58	n/a	19-Aug	1,500.00	3.0
BUCK CAPITAL MGMT		TGT	C	10,000	65.90	n/a	19-Aug	non-brg	4.0
DAVID GEORGE BUCK	FID	V	B	10	3.79	n/a	21-Aug	0.00	0.0
DAVID GEORGE BUCK	FID	V	S	10	4.57	n/a	21-Aug	0.00	0.0
BUCK CAPITAL MGMT		WCIC	B	50,000	15.94	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	WY	B	100	27.29	n/a	21-Aug	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INTERVAL PARTNERS	033	XLP	C	20,000	39.99	n/a	n/a	600.00	3.0
⚡ BUCK CAPITAL MGMT		XRT	SS	100,000	78.98	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		ZTS	B	16,800	30.03	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								53,661.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	SCOPUS FUND	041	DG	B	7,128	53.98	n/a	n/a	285.12 0.0
AO,CRT	08/19	SCOPUS FUND	041	DG	B	7,128	53.98	n/a	n/a	285.12 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	53,661.27
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	53,661.27
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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 21-Aug.
NONE

MRI Securities without Trade Activity on 21-Aug.
COL, DKS, LMT, TJX, JCP

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)