



Daily Compliance Activity Report

Trade Date: 12/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAR CAPITAL	029	AAL	C	15,000	26.50	n/a	9-Dec	600.00	4.0
ASCEND PARTNERS	033	ABEV	S	250,000	7.07	n/a	n/a	5,000.00	2.0
MAPLE LANE CAPITAL	040	ACN	SS	50,000	74.67	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		ALK	C	960	71.99	n/a	13-Dec	non-brg	1.0
TUDOR INVESTORS	028	ASH	B	5,000	93.06	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		AXL	S	4,140	19.63	n/a	16-Dec	non-brg	1.0
ROSEDALE CAPITAL	046	AXL	S	10,000	19.70	n/a	16-Dec	400.00	4.0
B BUCK CAPITAL MGMT		AXP	S	580	84.65	n/a	16-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		BAC	S	6,380	15.28	n/a	11-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		BBBY	C	590	76.99	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BCC	S	3,310	26.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BHI	S	880	53.24	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	BUFTX	B	194	20.65	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BXS	SS	4,500	24.32	n/a	n/a	135.00	3.0
B BUCK CAPITAL MGMT		CAR	S	3,160	36.43	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	CBK	S	20000	7.28	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CCK	S	10,000	42.96	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		CERN	C	610	54.27	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	CGI	B	10,000	20.04	n/a	19-Nov	400.00	4.0
FARALLON CAP MGMT	040	CMCSA	S	50,000	49.51	n/a	n/a	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	CMCSA	B	217,450	49.48	n/a	n/a	8,698.00	4.0
B BUCK CAPITAL MGMT		CNC	S	1,370	57.90	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COF	S	1,200	71.64	n/a	16-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		COH	C	150	55.14	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		C	S	1,030	51.22	n/a	11-Dec	non-brg	1.0
f CICI LY S BACKUS	FID	C	B	1000	51.49	n/a	11-Dec	0.00	0.0
DELTEC ASSET MGMT.	040	DAL	B	20,000	27.98	3-Dec	12-Dec	1,000.00	5.0
TUDOR INVESTORS	028	DD	SS	5,000	60.84	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		DFS	S	1,450	53.45	n/a	16-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		DGX	S	1,330	54.57	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	DG	B	50,000	60.58	6-Dec	6-Dec	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DG	S	790	60.44	6-Dec	6-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DHI	S	4,330	19.29	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DKS	S	1,160	55.43	20-Nov	11-Dec	non-brg	1.0
TUDOR INVESTORS	028	DOV	SS	5,000	91.57	n/a	n/a	150.00	3.0
PAULSON & CO INC	041	DYN	C	25,000	20.83	n/a	n/a	1,000.00	4.0
YORK CAPITAL	036	ELN	S	250,000	17.72	n/a	n/a	7,500.00	3.0
⌘ BUCK CAPITAL MGMT		ETN	S	770	72.57	n/a	n/a	non-brg	1.0
TUDOR INVESTORS	028	EXPD	B	5,000	42.98	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		EXPE	C	760	65.31	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		EXPE	SS	15,000	65.51	n/a	n/a	non-brg	4.0
BRONSON POINT	036	FB	SS	25,000	53.94	n/a	n/a	750.00	3.0
KAYNE ANDERSON ADV	084	FCFS	S	18,000	60.62	n/a	n/a	720.00	4.0
Ⓕ CHRISTOPHER ROBERT C	FID	FDIVX	S	117	35.36	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	FINL	S	15,000	25.39	n/a	16-Dec	750.00	5.0
METROPOLITAN CAPITAL	044	FINL	B	5,800	25.41	n/a	16-Dec	290.00	5.0
⌘ BUCK CAPITAL MGMT		FL	S	1,580	38.92	25-Nov	11-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FNP	S	610	32.94	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FNYTX	B	243	11.16	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FTK	S	3,110	19.07	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	FTQGX	B	211	18.96	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FWM	S	1,840	16.34	n/a	n/a	non-brg	1.0
TUDOR INVESTORS	028	FXI	B	20,000	38.58	n/a	n/a	600.00	3.0
ß BUCK CAPITAL MGMT		F	C	2,380	16.90	n/a	16-Dec	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	16.78	n/a	16-Dec	750.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	200,000	16.89	n/a	16-Dec	6,000.00	3.0
TUDOR INVESTORS	028	GDP	B	5,000	16.09	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		GES	C	132,080	31.08	n/a	5-Dec	non-brg	4.0
KAYNE ANDERSON ADV	084	GGG	S	7,000	75.88	n/a	n/a	280.00	4.0
ß BUCK CAPITAL MGMT		GIII	S	350	65.99	5-Dec	10-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		GM	S	3,160	40.73	n/a	16-Dec	non-brg	1.0
CR INTRINIC INVESTMENT	044	GT	B	25,000	22.67	n/a	n/a	750.00	3.0
BRONSON POINT	036	HAL	B	25,000	50.27	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		HAL	S	870	50.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HCA	S	1,680	47.17	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		HDS	S	3,430	23.08	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HD	S	270	79.14	n/a	n/a	non-brg	1.0
DAVID GEORGE BUCK	FID	HLF	S	20	4.05	n/a	n/a	0.00	0.0
CHARTERBRIDGE CAPITAL	025	HLT	SS	85,000	22.15	n/a	n/a	2,550.00	3.0
BUCK CAPITAL MGMT		HMB SS	C	140,400	43.10	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		HOS	C	430	49.05	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HTZ	S	4,420	24.88	n/a	n/a	non-brg	1.0
CICILY S BACKUS	FID	HTZ	B	2000	25.02	n/a	n/a	0.00	0.0
LEE F BACKUS	FID	HTZ	B	2000	25.11	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	IFF	B	15,000	84.28	n/a	n/a	750.00	5.0
SAC CAPITAL/M GRONET	030	IGT	SS	125,000	17.26	n/a	n/a	3,750.00	3.0
BUCK CAPITAL MGMT		IP	S	1,060	48.01	n/a	16-Dec	non-brg	1.0
TUDOR INVESTORS	028	ITT	S	10,000	42.82	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	ITW	B	5,000	79.98	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT		IWM	C	5,030	111.11	n/a	n/a	non-brg	1.0
MADISON ST PARTNERS LLC	046	IWM	S	15,000	111.42	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT		IWO	C	2,400	130.01	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		JBLU	S	15,190	8.68	5-Dec	11-Dec	non-brg 1.0
BUCK CAPITAL MGMT		JBLU	S	60,000	8.69	5-Dec	11-Dec	non-brg 3.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	94,675	8.71	5-Dec	11-Dec	2,840.25 3.0
BUCK CAPITAL MGMT		JIVE	S	5,370	9.92	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		JPM	S	1,080	56.81	n/a	11-Dec	non-brg 1.0
BUCK CAPITAL MGMT		KEG	S	4,830	7.57	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		KMT	S	1,830	49.59	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		KND	S	1,920	19.16	n/a	n/a	non-brg 1.0
ASCEND PARTNERS	033	KORS	B	25,000	82.13	n/a	n/a	750.00 3.0
BUCK CAPITAL MGMT		KORS	S	810	81.91	n/a	n/a	non-brg 1.0
BALYASNY ASSET MGMT	044	KSS	S	221,913	54.18	n/a	2-Dec	11,095.65 5.0
BUCK CAPITAL MGMT		KSS	S	470	54.10	n/a	2-Dec	non-brg 1.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	42.89	n/a	11-Dec	750.00 5.0
BUCK CAPITAL MGMT		LEN	S	400	35.40	n/a	n/a	non-brg 1.0
CHARTERBRIDGE CAPITAL	025	LF	C	50,000	8.15	n/a	n/a	1,500.00 3.0
BUCK CAPITAL MGMT		LPNT	S	1,110	50.99	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		LPX	S	3,570	17.05	n/a	16-Dec	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	MAS	B	15,000	21.42	n/a	n/a	450.00	3.0
⌘ BUCK CAPITAL MGMT		MDY	C	1,150	236.59	n/a	n/a	non-brg	1.0
KAYNE ANDERSON ADV	084	MELI	B	13,809	101.59	n/a	n/a	552.36	4.0
⌘ BUCK CAPITAL MGMT		MOH	S	2,180	33.10	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	MRVL	B	10,000	13.68	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		MS	S	3,010	31.22	n/a	11-Dec	non-brg	1.0
LOMAS CAPITAL	040	MTW	B	60,000	21.61	n/a	n/a	1,800.00	3.0
⌘ BUCK CAPITAL MGMT		MWV	S	2,270	35.44	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		M	S	1,360	51.76	n/a	2-Dec	non-brg	1.0
HOLLIS CAPITAL	033	NRF	B	5,000	11.93	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		NVGS	S	1,330	24.69	n/a	n/a	non-brg	1.0
CHARTERBRIDGE CAPITAL	025	OPEN	SS	8,000	76.51	n/a	n/a	240.00	3.0
⌘ BUCK CAPITAL MGMT		OWW	S	6,140	6.87	n/a	n/a	non-brg	1.0
NOMURA/ANGEL LANE PRINCIPAL	040	PBCT	B	8,000	14.65	n/a	n/a	240.00	3.0
⌘ BUCK CAPITAL MGMT		PCLN	C	45	1172.58	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	PEP	B	20	0.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PETM	C	1,090	72.21	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PFE	S	3,910	30.19	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PIR	S	50,000	20.73	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	PNRA	S	16,700	170.37	n/a	n/a	501.00	3.0
TUDOR INVESTORS	028	PNR	C	5,000	71.58	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		PVH	S	610	130.48	11-Dec	11-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		RAD	S	23,010	5.73	n/a	n/a	non-brg	1.0
LOCUST WOOD CAPITAL MGMT	044	RESI	S	45,260	30.55	n/a	n/a	1,810.40	4.0
B BUCK CAPITAL MGMT		RKT	S	260	100.77	n/a	16-Dec	non-brg	1.0
SHEFFIELD ASSET MGMT	031	RKT	S	9,598	101.97	n/a	16-Dec	383.92	4.0
BALYASNY ASSET MGMT	044	RL	B	30,000	175.73	n/a	12-Dec	1,500.00	5.0
B BUCK CAPITAL MGMT		RL	S	160	176.30	n/a	12-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		R	S	990	69.54	n/a	16-Dec	non-brg	1.0
f DAVID GEORGE BUCK	FID	SBUX	B	15	0.37	n/a	13-Dec	0.00	0.0
B BUCK CAPITAL MGMT		SLM	S	900	25.87	18-Nov	9-Dec	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	SLM	B	12,500	25.84	18-Nov	9-Dec	375.00	3.0
f MARC PAUL LUCHANSKY	FID	SMAIX	B	556	4.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPN	S	3,120	25.11	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SPY 12 P180	S	140	2.74	n/a	n/a	non-brg	300.0
TUDOR INVESTORS	028	STAY	B	5,000	23.96	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		STT	S	1,420	70.31	n/a	11-Dec	non-brg	1.0
f NILSA VAZQUEZ	FID	STZ	S	250	70.68	n/a	4-Dec	0.00	0.0
SCOPUS FUND	041	TIF	B	25,000	90.81	n/a	n/a	1,000.00	4.0
GALT INVESTMENT	041	TJX	B	25,000	61.33	20-Nov	20-Nov	1,250.00	5.0
f MARC PAUL LUCHANSKY	FID	TPINK	B	276	13.05	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	TWTR	S	100	59.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UAL	S	1,170	38.61	20-Nov	9-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		UCP	S	3,240	14.52	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ULTA	B	16,500	91.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ULTA	S	70	91.15	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		URBN	B	12,500	36.47	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		URBN	B	25,000	36.57	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	B	45,000	36.54	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URI	S	990	73.55	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		VMC	S	1,250	56.72	n/a	n/a	non-brg	1.0
f	CHRISTOPHER ARTHUR K	FID	VXX	S	250	46.81	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		V	S	170	209.83	n/a	16-Dec	non-brg	1.0
ß	BUCK CAPITAL MGMT		WAG	S	310	57.01	n/a	n/a	non-brg	1.0
f	DAVID GEORGE BUCK	FID	WAG	B	50	0.22	n/a	n/a	0.00	0.0
f	IRVING D KAR PAS JR	FID	WAIGX	B	175	28.53	n/a	n/a	0.00	0.0
f	IRVING D KAR PAS JR	FID	WAIGX	B	175	28.53	n/a	n/a	0.00	0.0
f	IRVING D KAR PAS TRU	FID	WAIGX	B	175	28.53	n/a	n/a	0.00	0.0
f	JACK H CHERNUS	FID	WAIGX	B	701	28.53	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		WCIC	S	3,010	19.17	n/a	n/a	non-brg	1.0
	KAYNE ANDERSON ADV	084	WDFC	S	4,981	75.55	n/a	n/a	199.24	4.0
	FRONTFOUR CAPITAL	046	WNC	B	20,000	11.79	n/a	25-Nov	600.00	3.0
ß	BUCK CAPITAL MGMT		WSM	S	220	58.13	n/a	n/a	non-brg	1.0
	NEWLAND CAPITAL MGT	025	WY	B	25,000	30.22	n/a	16-Dec	1,000.00	4.0
	TUDOR INVESTORS	028	WY	S	5,000	30.55	n/a	16-Dec	150.00	3.0
ß	BUCK CAPITAL MGMT		XPO	S	1,260	23.51	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B	BUCK CAPITAL MGMT		ZTS	S	2,430	31.65	n/a	n/a	non-brg 1.0
f	DAVID GEORGE BUCK	FID		B	65000	98.93	n/a	n/a	0.00 0.0
TOTAL (Trade Date):									81,610.82

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	EMPYREAN CAPITAL	084	AER	B	50,000	24.78	n/a	n/a	1500.00 0.0
AO,CXL	12/13	EMPYREAN CAPITAL	084	AER	B	50,000	24.78	n/a	n/a	1500.00 0.0
AO,	12/13	YORK CAPITAL	036	ELN	S	500,000	17.84	n/a	n/a	15000.00 0.0
AO,CXL	12/13	YORK CAPITAL	036	ELN	S	500,000	17.84	n/a	n/a	5000.00 0.0
AO,CXL	12/11	YORK CAPITAL	036	MYL	B	1,126	41.66-2013-12-11-2013-12-11			33.78 0.0
AO,CRT	12/11	YORK CAPITAL	036	MYL	B	1,126	41.66-2013-12-11-2013-12-11			36.75 0.0
AO,	12/13	ROTHSCHILD ASSET	040	RFMD	S	300,707	5.01	n/a	n/a	12028.28 0.0

TOTAL (AO, CXL, CRT) :**22,031.25**

TOTAL (Trade Date) :

81,610.82

TOTAL (AO, CXL, CRT) :

22,031.25

TOTAL (RUN DATE) / NFS :**103,642.07**

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 16-Dec.
NONE

MRI Securities without Trade Activity on 16-Dec.
TEVA, SMG, NKE

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)