



Daily Compliance Activity Report

Trade Date: 08/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	6,300	34.78	n/a	n/a	252.00	4.0
TUDOR INVESTORS	028	ABX	B	5,000	19.62	n/a	n/a	150.00	3.0
SCOGGIN LLC	041	ACT	B	23,000	134.17	n/a	16-Aug	1,150.00	5.0
B BUCK CAPITAL MGMT		AEO	S	50,000	16.32	n/a	n/a	non-brg	4.0
CORNERSTONE	030	AMZN	B	31,894	285.68	n/a	n/a	956.82	3.0
TYVOR CAPITAL LLC	031	ANF	B	5,000	48.55	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	ANR	B	10,000	6.08	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	ANV	SS	20,000	4.63	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		ARO	S	25,000	12.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	25,000	12.34	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	50,000	12.30	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	AVB	S	1500	123.00	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	BA	SS	5,000	103.33	2-Aug	24-Jul	150.00	3.0
LATEEF MGMT	033	BDN	B	750	12.70	n/a	n/a	75.00	10.0
TUDOR INVESTORS	028	BLL	B	20,000	45.14	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	CAT	B	5,000	85.55	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	CBS	B	1500	51.85	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	CCK	SS	5,000	44.28	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	CMI	SS	5,000	124.80	31-Jul	5-Aug	150.00	3.0
f HARALAMBOS EFSTATHI	FID	CPA	B	100	136.65	n/a	9-Aug	0.00	0.0
f RYAN D MUELLER	FID	DAL	B	200	19.87	25-Jul	14-Aug	0.00	0.0
B BUCK CAPITAL MGMT		DDS	C	29,600	82.71	9-Aug[i]	15-Aug	non-brg	4.0
SENATOR INVESTMENT GROUP	287	DE	B	500,000	84.06	n/a	n/a	15,000.00	3.0
TUDOR INVESTORS	028	DE	SS	10,000	84.21	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	DHI	S	30,000	19.62	n/a	n/a	900.00	3.0
ASCEND PARTNERS	033	DKS	C	25,000	50.44	n/a	15-Aug	750.00	3.0
TUDOR INVESTORS	028	DOW	SS	10,000	37.07	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		DSW	C	10,000	79.36	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	ETN	B	10,000	65.55	n/a	5-Aug	300.00	3.0
TUDOR INVESTORS	028	EXPD	B	5,000	39.98	n/a	7-Aug	150.00	3.0
TYVOR CAPITAL LLC	031	EXPR	B	5,000	20.70	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FCX	B	20,000	32.10	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	FCX	B	5,000	31.46	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	FELE	B	3,094	37.15	n/a	n/a	123.76	4.0
BALYASNY ASSET MGMT	044	FINL	B	50,000	21.70	n/a	14-Aug	2,500.00	5.0
LISTED ERR	099	FINL	B	500	21.72	n/a	14-Aug	0.00	0.0
LISTED ERR	099	FINL	S	500	21.65	n/a	14-Aug	0.00	0.0
BRIGADE CAPITAL MGMT	029	FNSR	S	25,000	21.20	n/a	n/a	750.00	3.0
LATEEF MGMT	033	F	B	500	16.29	25-Jul	16-Aug	50.00	10.0
SCOPUS FUND	041	F	SS	25,000	16.29	25-Jul	16-Aug	1,000.00	4.0
LATEEF MGMT	033	GIS	B	400	49.43	n/a	n/a	40.00	10.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	34.81	n/a	16-Aug	450.00	3.0
TUDOR INVESTORS	028	GM	B	10,000	34.43	n/a	16-Aug	300.00	3.0
S.A.C. CAPITAL	044	GWW	B	25,000	252.59	n/a	12-Aug	750.00	3.0
LATEEF MGMT	033	IBM	B	850	185.91	n/a	n/a	127.50	15.0
CHARTERBRIDGE CAPITAL	025	INTC	SS	75,000	22.05	n/a	n/a	2,250.00	3.0
TUDOR INVESTORS	028	IR	B	5,000	60.61	22-Jul	18-Jul	150.00	3.0
Õ Nilsa Vazquez		IVR	B	1000	14.99	n/a	n/a	0.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN	044	IWM	B	100,000	101.95		n/a	n/a	4,000.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f RYAN D MUELLER	FID	JBLU	B	400	6.39	n/a	31-Jul	0.00	0.0
CADIAN CAPITAL	041	JWN	C	9,000	57.24	16-Aug	7-Aug	270.00	3.0
M&I FUNDS	047	JWN	S	42,895	57.50	16-Aug	7-Aug	1,715.80	4.0
MACELLUM CAPITAL	086	KSS	S	40,000	52.71	n/a	16-Aug	1,200.00	3.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	S	250,000	16.16	25-Jul	14-Aug	10,000.00	4.0
B BUCK CAPITAL MGMT		LEG	C	20,000	30.18	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	LEN	S	26,000	33.98	n/a	n/a	780.00	3.0
TUDOR INVESTORS	028	LEN	S	5,000	34.37	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	LII	B	5,000	68.64	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		LOW	C	50,100	44.45	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	MAS	S	10,000	19.33	n/a	n/a	300.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MNRO		S	42,671	42.98	n/a	n/a	1,280.13 3.0
f DAVID GEORGE BUCK	FID	MSCI	B	2000	37.69	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	MWV	B	10,000	36.38	n/a	30-Jul	300.00	3.0
MACELLUM CAPITAL	086	M	SS	45,000	45.49	15-Aug	14-Aug	1,350.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)251		NBR	B	10,000	15.65		n/a n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	NPSP	S	30	0.71	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	36.81	n/a	8-Aug	400.00	4.0
TUDOR INVESTORS	028	PH	SS	7,000	103.53	n/a	n/a	210.00	3.0
TUDOR INVESTORS	028	PPG	B	3,000	158.11	n/a	n/a	90.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	PRGO	B	7,500	120.42		n/a 15-Aug	225.00	3.0
CORNERSTONE	030	PVH	B	71,306	127.11	n/a	18-Jul	2,139.18	3.0
f DAVID GEORGE BUCK	FID	QCOR	S	10	1.33	n/a	n/a	0.00	0.0
LATEEF MGMT	033	RDSB	S	250	66.70	n/a	n/a	37.50	15.0
CAERUS GLOBAL	041	RL	B	10,000	173.40	n/a	8-Aug	400.00	4.0
B BUCK CAPITAL MGMT		SCSS	S	30,000	21.67	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	SON	SS	5,000	38.08	n/a	n/a	150.00	3.0
COUGAR TRADING	044	SSI	B	5,000	22.32	n/a	15-Aug	250.00	5.0
WEISS PECK/ROBECO/BOSTON PT		040 SSI	C	6,400	22.52		n/a 15-Aug	320.00	5.0
B BUCK CAPITAL MGMT		SYX	C	20,000	32.39	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	TEX	B	5,000	31.98	n/a	n/a	1.50	0.0
f DAVID GEORGE BUCK	FID	THC	S	2000	39.67	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORNERSTONE	030	TJX	S	321,969	50.64	n/a	7-Aug	9,659.07	3.0
SCOPUS FUND	041	TJX	B	25,000	51.19	n/a	7-Aug	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		TSCO	B	20,000	117.51	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	VAL	B	7,000	62.97	n/a	n/a	210.00	3.0
⚡ BUCK CAPITAL MGMT		WYNN	B	20,000	140.05	n/a	n/a	non-brg	4.0
KORT	025	WY	B	25,000	27.47	n/a	16-Aug	750.00	3.0
TOTAL (Trade Date):								69,763.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/15	HARVEST MGMT (JMP)	029	ATVI	SS	10,000	17.22	n/a	n/a	400.00 0.0
AO,CXL	08/15	HARVEST MGMT (JMP)	029	ATVI	SS	10,000	17.22	n/a	n/a	500.00 0.0
AO,CRT	08/15	HARVEST MGMT (JMP)	029	PVH	S	6,000	126.91	n/a-2013-07-18		240.00 0.0
AO,CXL	08/15	HARVEST MGMT (JMP)	029	PVH	S	6,000	126.91	n/a-2013-07-18		300.00 0.0
TOTAL (AO, CXL, CRT) :										-160.00

TOTAL (Trade Date) :	69,763.26
TOTAL (AO, CXL, CRT) :	-160.00

TOTAL (RUN DATE) / NFS :	69,603.26
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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 16-Aug.

JWN

MRI Securities without Trade Activity on 16-Aug.

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)