



Daily Compliance Activity Report

Trade Date: 08/19/2013

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	S	5	6.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	20,000	16.10	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	AGNC	B	250	20.44	n/a	n/a	0.00	0.0
TALON ASSET MGMT.	006	AIG	S	7,500	46.52	n/a	n/a	375.00	5.0
B BUCK CAPITAL MGMT		ANF	S	20,000	48.05	n/a	n/a	non-brg	4.0
f WILLIAM J GAULT	FID	ARCI	S	9742	3.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	S	30,000	12.30	n/a	n/a	non-brg	4.0
BRONSON POINT	036	AVP	B	25,000	20.41	5-Aug	n/a	750.00	3.0
INTERVAL PARTNERS	033	AXL	B	25,000	19.27	5-Aug	16-Aug	750.00	3.0
f DAVID GEORGE BUCK	FID	CLDX	S	15	0.79	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CME	S	200,000	72.57	n/a	n/a	6,000.00	3.0
FIFTH THIRD BANK/FREEMAN	047	C	B	14,120	49.73	n/a	16-Aug	564.80	4.0
TALON ASSET MGMT.	006	C	S	5,000	49.68	n/a	16-Aug	250.00	5.0
B BUCK CAPITAL MGMT		DDS	C	60,000	79.72	9-Aug[i]	15-Aug	non-brg	4.0
SCOPUS FUND	041	DG	B	118,800	53.98	n/a	n/a	4,752.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B	BUCK CAPITAL MGMT		DKS	B	20,000	50.54	n/a	15-Aug	non-brg 4.0
	CAERUS GLOBAL	041	DKS	B	40,139	50.70	n/a	15-Aug	1,605.56 4.0
	LAKEWOOD CAPITAL MGMT	085	DXCM	C	3,000	26.47	n/a	n/a	90.00 3.0
	CADIAN CAPITAL	041	EMC	B	50,000	25.77	n/a	n/a	1,500.00 3.0
	MAPLE LANE CAPITAL	040	FB	S	100,000	38.10	n/a	n/a	4,000.00 4.0
	RIDGECREST INV MGMT LLC	028	FCX	S	20,000	31.22	n/a	n/a	800.00 4.0
	TALON ASSET MGMT.	006	GILD	S	2,500	57.89	n/a	n/a	125.00 5.0
	PECONIC PARTNERS	036	GM	B	10,000	34.80	n/a	16-Aug	500.00 5.0
	S.A.C. CAPITAL	044	GNC	S	20,000	51.81	n/a	n/a	600.00 3.0
B	BUCK CAPITAL MGMT		GPS	B	30,000	43.09	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		GPS	B	58,000	42.99	n/a	n/a	non-brg 4.0
	TYVOR CAPITAL LLC	031	HD	S	24,489	76.32	n/a	n/a	734.67 3.0
f	JASON ERIC COHEN	FID	HLF	B	10	2.54	n/a	n/a	0.00 0.0
	FIFTH THIRD BANK/FREEMAN	047	JPM	B	10,170	52.39	n/a	16-Aug	406.80 4.0
	STRONG/MARK GRONET	030	LCC	B	30,000	15.65	25-Jul	19-Aug	1,200.00 4.0
	TIDE POINT CAPITAL	028	LEA	B	15,000	70.58	29-Jul	16-Aug	450.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORTEX CAPITAL	031	LF	SS	50,000	10.32	n/a	n/a	1,500.00	3.0
f DOUGLAS R ROGERS	FID	LGND	S	500	42.80	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	LNC	S	18,400	42.96	n/a	n/a	736.00	4.0
TYVOR CAPITAL LLC	031	LOW	B	13,000	43.80	n/a	n/a	390.00	3.0
CR INTRINIC INVESTMENT	044	LPX	B	25,000	15.25	n/a	16-Aug	750.00	3.0
DC CAPITAL	044	LPX	B	100,000	15.37	n/a	16-Aug	3,000.00	3.0
SLS CAPITAL LLC	006	LPX	S	156,672	15.25	n/a	16-Aug	6,266.88	4.0
f KATHERINE L O'GORMAN	FID	MWO	S	400	23.78	n/a	n/a	0.00	0.0
OMEGA ADVISORS	041	NLY	S	470,000	11.08	n/a	n/a	18,800.00	4.0
BASSWOOD PARTNERS	267	NYCB	C	77,862	15.35	n/a	24-Jul	3,114.48	4.0
S.A.C. CAPITAL	044	OFIX	SS	8,400	22.05	n/a	n/a	252.00	3.0
f DAVID GEORGE BUCK	FID	PBYI	B	1500	51.14	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	PHM	S	13,529	15.72	n/a	n/a	541.16	4.0
õ Ryan Mueller		PQ	S	760	4.27	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PRGO	SS	5,000	120.76	19-Aug	19-Aug	150.00	3.0
MAPLE LANE CAPITAL	040	P	S	75,000	21.35	n/a	n/a	3,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	RDEN	B	27,122	35.00	9-Aug	8-Aug	1,084.88	4.0
ALLIANZ GLOBAL INVESTOR	084	RPTP	B	41,344	11.67	n/a	n/a	1,447.05	4.0
MAPLE LANE CAPITAL	040	SBGI	S	65,000	24.27	n/a	n/a	3,250.00	5.0
S.A.C. CAPITAL	044	SBGI	B	10,000	24.27	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		SCSS	S	30,000	21.42	n/a	n/a	non-brg	4.0
KORT	025	SEE	B	30,000	28.88	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		SYX	C	20,000	32.56	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	TKR	B	10,000	58.00	n/a	n/a	300.00	3.0
LAKEWOOD CAPITAL MGMT	085	UNXL	C	5,000	15.75	n/a	n/a	150.00	3.0
BALYASNY ASSET MGMT	044	URBN	S	15,000	39.87	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		URBN	B	12,500	39.85	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		URBN	B	20,000	40.09	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	287	VLO	SS	309,483	34.93	n/a	n/a	9,284.49	3.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VLO	B	13,600	34.56	n/a	n/a	448.80	3.0
MERRILL ASSET/BLACKROCK	085	V	B	9,800	175.75	n/a	14-Aug	392.00	4.0
B BUCK CAPITAL MGMT		WCIC	B	300	15.75	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	287	XOM	B	152,872	87.60	n/a	n/a	4,586.16	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		XRT	C	100,000	79.59	n/a	n/a	non-brg 2.0
f ANTHONY SUTERA	FID		B	25000	99.60	n/a	n/a	0.00 0.0
TOTAL (Trade Date):								86,847.73

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research		Comm.¢/Shr.	
AO,CXL	08/15	OZ MGMT	040	GM	B	50,000	34.69	n/a-2013-08-16		2500.00	0.0
AO,	08/15	OZ MGMT	040	GM	B	50,000	34.69	n/a-2013-08-16		1500.00	0.0
AO,	08/16	LATEEF MGMT	033	IBM	B	850	185.91	n/a	n/a	127.50	0.0
AO,CXL	08/16	LATEEF MGMT	033	IBM	B	850	185.91	n/a	n/a	127.50	0.0
AO,CXL	08/16	CAERUS GLOBAL	041	RL	B	10,000	173.40	n/a-2013-08-08		400.00	0.0
AO,CRT	08/16	CAERUS GLOBAL	041	RL	B	10,000	173.40	n/a-2013-08-08		400.00	0.0

TOTAL (AO, CXL, CRT) :**-1,000.00**

TOTAL (Trade Date) :**86,847.73****TOTAL (AO, CXL, CRT) :****-1,000.00**

TOTAL (RUN DATE) / NFS :**85,847.73**

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 19-Aug.

PRGO

MRI Securities without Trade Activity on 19-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)