



# Daily Compliance Activity Report

Trade Date: 09/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	125,000	7.92	n/a	n/a	6,250.00	5.0
LATEEF MGMT	033	AA	S	300	7.91	n/a	n/a	30.00	10.0
WHITE PINE CAPITAL	030	ACLS	S	128,000	2.08	n/a	n/a	2,560.00	2.0
WHITE PINE CAPITAL	030	ALU	S	136,800	3.16	n/a	n/a	4,104.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>10</b>	<b>1.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	APD	S	4,450	102.97	n/a	n/a	178.00	4.0
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>	<b>BACPRD</b>	<b>S</b>	<b>2456</b>	<b>24.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	BDN	B	250	12.96	n/a	n/a	25.00	10.0
HIGHBRIDGE CAP	041	BK	B	50,000	30.55	n/a	6-Sep	2,500.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>BODY</b>	<b>B</b>	<b>800</b>	<b>6.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERYLSON CAPITAL	030	BONT	B	87,000	11.00	23-Aug	22-Aug	2,610.00	3.0
HIGHBRIDGE CAP	041	CAB	SS	19,676	63.36	n/a	n/a	983.80	5.0
KENNEDY CAPITAL	046	CATO	B	18,667	25.90	n/a	n/a	746.68	4.0
LATEEF MGMT	033	CBL	B	350	19.50	n/a	n/a	35.00	10.0
LATEEF MGMT	033	CMCSK	S	100	41.27	n/a	n/a	28.00	28.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CVLT		B	960	84.71	n/a	n/a	28.80 3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>10,000</b>	<b>61.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>DIOD</b>	<b>B</b>	<b>400</b>	<b>25.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DIS</b>	<b>S</b>	<b>40</b>	<b>0.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DRI</b>	<b>C</b>	<b>40,400</b>	<b>47.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DSM CAPITAL PARTNERS	085	EPAM	S	22,555	31.88	n/a	n/a	1,127.75	5.0
<b>f LARA HUNT SMITH</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>15</b>	<b>0.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LARA HUNT SMITH</b>	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>15</b>	<b>0.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>10</b>	<b>0.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>50</b>	<b>0.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>10</b>	<b>0.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>50</b>	<b>0.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J. GOLDMAN	028	FDX	SS	30,000	108.17	n/a	16-Aug	1,200.00	4.0
METROPOLITAN CAPITAL	044	FL	B	18,794	32.54	26-Aug	5-Sep	939.70	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>10,000</b>	<b>112.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
T. ROWE PRICE	243	FPO	S	34,700	12.41	n/a	n/a	1,388.00	4.0
BRIGADE CAPITAL MGMT	029	FST	S	9,000	5.70	n/a	n/a	270.00	3.0
FORTRESS INVESTMENT (US)	036	F	B	117,500	17.00	n/a	5-Sep	4,700.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	GIS	B	100	49.20	n/a	n/a	30.00	30.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>GLD</b>	<b>B</b>	<b>100</b>	<b>134.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	GM	S	46,800	36.26	n/a	6-Sep	1,872.00	4.0
HIGHBRIDGE CAP	041	GM	B	25,000	36.46	n/a	6-Sep	1,250.00	5.0
TIDE POINT CAPITAL	028	GM	B	20,000	35.93	n/a	6-Sep	600.00	3.0
MOORE CAPITAL	257	GRPN	B	15,000	10.74	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	GS	B	12,500	157.20	n/a	6-Sep	625.00	5.0
TIDE POINT CAPITAL	028	GT	B	15,000	20.78	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	ICE	B	2,550	179.00	n/a	n/a	127.50	5.0
LATEEF MGMT	033	INTC	B	125	22.72	n/a	n/a	31.25	25.0
MOORE CAPITAL	257	INTC	C	29,870	22.73	n/a	n/a	896.10	3.0
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>JBLU</b>	<b>S</b>	<b>100</b>	<b>0.22</b>	<b>n/a</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>JBLU</b>	<b>S</b>	<b>40</b>	<b>0.21</b>	<b>n/a</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	JCP	B	28,757	14.29	21-Aug	27-Aug	1,150.28	4.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>JCP</b>	<b>B</b>	<b>500</b>	<b>14.40</b>	<b>21-Aug</b>	<b>27-Aug</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	085	JLL	B	19,800	84.01	n/a	n/a	792.00	4.0
KENNEDY CAPITAL	046	JOSB	B	16,300	41.95	n/a	n/a	652.00	4.0
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>10</b>	<b>0.12</b>	<b>n/a</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MICHAEL ALEXANDER SM	FID	JPM	S	40	0.12	n/a	6-Sep	0.00	0.0
B	BUCK CAPITAL MGMT		KORS	S	20,000	74.87	7-Aug	n/a	non-brg	4.0
	SANDLER O'NEILL ASSET	031	LAZ	S	4,813	37.06	n/a	6-Sep	240.65	5.0
	DC CAPITAL	044	LCC	B	20,000	17.00	n/a	5-Sep	800.00	4.0
	HOLLIS CAPITAL	033	LCC	S	5,000	16.86	n/a	5-Sep	250.00	5.0
	STRONG/MARK GRONET	030	LCC	B	2,535	16.85	n/a	5-Sep	101.40	4.0
B	BUCK CAPITAL MGMT		LEG	C	30,000	29.66	n/a	n/a	non-brg	4.0
	COBALT	041	LPX	B	100,000	17.42	n/a	6-Sep	4,000.00	4.0
	MASTERS CAPITAL MANAGE	025	LPX	B	250,000	17.07	n/a	6-Sep	10,000.00	4.0
	OZ MGMT	040	LPX	SS	50,000	17.03	n/a	6-Sep	1,500.00	3.0
	KORT	025	LPX	B	50,000	17.07	n/a	6-Sep	1,500.00	3.0
B	BUCK CAPITAL MGMT		LVS	S	20,000	58.29	n/a	n/a	non-brg	4.0
	CASTLEROCK	040	MCD	B	6,287	96.28	5-Sep	5-Sep	251.48	4.0
	INTERVAL PARTNERS	033	MCD	C	25,000	96.10	5-Sep	5-Sep	750.00	3.0
	CORTEX CAPITAL	031	MM	S	50,000	6.60	n/a	n/a	1,500.00	3.0
f	DAVID GEORGE BUCK	FID	MPW	B	1000	12.11	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	MPW	B	5000	11.78	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	MPW	B	1000	12.08	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAP	041	MU	SS	25,000	15.19	n/a	n/a	1,250.00	5.0
f	YANAI A FRANK	FID	MXIM	B	360	28.22	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>NAV</b>	<b>B</b>	<b>400</b>	<b>35.17</b>	<b>n/a</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	NQ		B	14,026	17.09	n/a	n/a	420.78	3.0
J. GOLDMAN	028	OI	SS	21,000	29.84	n/a	n/a	840.00	4.0
LATEEF MGMT	033	OLN	B	150	22.82	n/a	n/a	30.00	20.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>ONNN</b>	<b>B</b>	<b>1350</b>	<b>7.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>	<b>PII</b>		<b>S</b>	<b>20,000</b>	<b>110.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ASCEND PARTNERS	033	PVH	S	15,022	130.34	n/a	n/a	450.66	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SLB</b>	<b>S</b>	<b>10</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>STDAF</b>	<b>B</b>	<b>1000</b>	<b>46.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
T. ROWE PRICE	243	SUPX	S	15,400	24.01	n/a	n/a	616.00	4.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>SWKS</b>	<b>B</b>	<b>385</b>	<b>25.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	TPX	B	24,654	42.20	n/a	n/a	1,232.70	5.0
HIGHBRIDGE CAP	041	TRIP	SS	16,550	74.43	n/a	n/a	827.50	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VOD</b>	<b>B</b>	<b>2000</b>	<b>32.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VOD</b>	<b>B</b>	<b>400</b>	<b>32.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>VOD</b>	<b>B</b>	<b>300</b>	<b>32.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		WCIC	B	3,300	14.71	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		WHR	B	40,000	131.53	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	WLP	S	2000	87.09	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	WLP	S	200	87.70	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	WLP	S	200	87.82	n/a	n/a	0.00	0.0
LATEEF MGMT	033	WRIPRF	B	228	24.23	n/a	n/a	27.36	12.0
LATEEF MGMT	033	WY	B	350	28.51	n/a	6-Sep	35.00	10.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	50,000	28.50	n/a	6-Sep	1,500.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	YELP	B		12,169	62.49	n/a	n/a	365.07 3.0
DSM CAPITAL PARTNERS	085	YY	B	8,795	44.12	n/a	n/a	439.75	5.0
DOUGLAS R ROGERS	FID		B	61000	95.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							67,559.21		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/29	BNP PARIBAS SEC	040	LEN	S	25,000	32.84	n/a	n/a	750.00 0.0
AO,CXL	08/29	BNP PARIBAS SEC	040	LEN	S	25,000	32.83	n/a	n/a	750.00 0.0
AO,CRT	09/05	RBC CAPITAL MARKETS	040	SFD	S	20,000	33.91	n/a	n/a	600.00 0.0
AO,CXL	09/05	RBC CAPITAL MARKETS	040	SFD	S	20,000	33.91	n/a	n/a	800.00 0.0
AO,CXL	09/03	AMBER CAPITAL	046	T	B	462,130	34.01	n/a	n/a	18485.20 0.0
AO,CRT	09/03	AMBER CAPITAL	046	T	B	462,130	34.01	n/a	n/a	18485.18 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-200.02</b>
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TOTAL (Trade Date) :	67,559.21
TOTAL (AO, CXL, CRT) :	-200.02

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>67,359.19</b>
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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 6-Sep.  
NONE

MRI Securities without Trade Activity on 6-Sep.  
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)**