



# Daily Compliance Activity Report

Trade Date: 12/10/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KOLVEN CAPITAL	025	AAL	B	750	24.90	n/a	9-Dec	22.50	3.0
BTG PACTUAL	040	AEO	B	15,000	14.39	n/a	n/a	450.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>324,460</b>	<b>14.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIMMONS VENTURES	041	AEO	B	7,500	14.44	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	AEO	S	1,100	14.37	n/a	n/a	0.00	0.0
KOLVEN CAPITAL	025	AGCO	B	1,225	60.59	n/a	n/a	36.75	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ALK</b>	<b>SS</b>	<b>42,000</b>	<b>74.34</b>	<b>15-Nov</b>	<b>9-Dec</b>	<b>non-brg</b>	<b>4.0</b>
LAKEWOOD CAPITAL MGMT	085	ATHN	C	1,000	132.35	n/a	n/a	30.00	3.0
NEUBERGER BERMAN	036	BHP	S	48,400	66.70	n/a	n/a	1,936.00	4.0
ROSEDALE CAPITAL	046	BRCM	B	10,000	28.45	n/a	n/a	400.00	4.0
HOTCHKIS & WILEY	084	CAR	S	75,000	37.13	n/a	n/a	3,000.00	4.0
BALYASNY ASSET MGMT	044	CAT	C	25,000	86.75	n/a	n/a	1,250.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>S</b>	<b>3030</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	CCK	S	220,639	43.54	n/a	n/a	11,031.95	5.0
NEUBERGER BERMAN	036	CHKP	S	84,300	60.75	n/a	n/a	3,372.00	4.0
NEUBERGER BERMAN	036	CME	S	45,400	79.39	n/a	n/a	1,816.00	4.0

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WADDELL AND REED	047	CME	B	93,750	79.67	n/a	n/a	3,750.00	4.0
FOUNDRY PARTNERS LLC	030	CRM	B	28,380	54.10	n/a	n/a	1,135.20	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>200</b>	<b>51.96</b>	<b>n/a</b>	<b>9-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DGX</b>	<b>B</b>	<b>8,600</b>	<b>58.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LAKEWOOD CAPITAL MGMT	085	DXCM	C	4,000	33.56	n/a	n/a	120.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DXPE</b>	<b>B</b>	<b>60</b>	<b>30.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KAYNE ANDERSON ADV	084	ELLI	B	25,000	27.03	n/a	n/a	1,000.00	4.0
NOKOMIS PARTNERS	031	EPM	S	100	12.24	n/a	n/a	3.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	ESRX	B	25,000	68.05	n/a	n/a	750.00	3.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>EWJ</b>	<b>B</b>	<b>100</b>	<b>11.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAKEWOOD CAPITAL MGMT	085	FAZ	SS	45,000	23.32	n/a	n/a	1,350.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FMAGX</b>	<b>S</b>	<b>17</b>	<b>90.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>10,000</b>	<b>123.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BTIG/LIGHT STREET CAPITAL	044	FXI	SS	19,335	39.58	n/a	n/a	580.05	3.0
LIONEYE CAPITAL	040	GIB	SS	5,000	34.61	n/a	n/a	250.00	5.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>GLD</b>	<b>S</b>	<b>10</b>	<b>121.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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<b>f IAN L MILLER</b>	<b>FID</b>	<b>HDS</b>	<b>S</b>	<b>50</b>	<b>23.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	HPQ	B	220,810	27.02	n/a	n/a	11,040.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>B</b>	<b>60,000</b>	<b>8.32</b>	<b>5-Dec</b>	<b>9-Dec</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>39,500</b>	<b>54.65</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>S</b>	<b>14,000</b>	<b>35.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	LULU	SS	15,000	70.21	n/a	10-Dec	750.00	5.0
BARROW HANLEY MEWHINNEY	031	MRK	S	160,170	49.30	n/a	n/a	5,605.97	4.0
ASCEND PARTNERS	033	MTZ	B	20,305	31.86	n/a	n/a	609.15	3.0
CORNERSTONE	030	MU	B	50,000	23.36	n/a	n/a	1,500.00	3.0
LAKEWOOD CAPITAL MGMT	085	MU	B	50,000	22.98	n/a	n/a	1,500.00	3.0
LAKEWOOD CAPITAL MGMT	085	NOW	C	2,000	50.86	n/a	n/a	60.00	3.0
FOUNDRY PARTNERS LLC	030	NWL	B	35,675	31.21	n/a	n/a	1,427.00	4.0
WAGONHOUND/NICOLAS	033	ORLY	S	5,127	124.46	n/a	n/a	205.08	4.0
KAYNE ANDERSON ADV	084	PDCO	B	35,330	41.69	n/a	n/a	1,413.20	4.0
WEXFORD CAPITAL	284	PNR	B	28,200	71.81	n/a	n/a	846.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>131.48</b>	<b>n/a</b>	<b>10-Dec</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CORVEX CAPITAL	041	QCOM	SS	50,000	73.54	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		RAD	S	100,000	5.63	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	100,000	5.64	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	100,000	5.68	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	300,000	5.56	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RAD	S	54,700	5.66	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RL	B	30,000	172.11	n/a	n/a	non-brg	4.0
f PATRICK O'GRADY	FID	ROIAK	S	300	3.44	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	SCHW	B	60	24.79	n/a	n/a	0.00	0.0
KOLVEN CAPITAL	025	SPDC	B	3,000	4.17	n/a	n/a	90.00	3.0
STELLIAM INV ADV	086	TWTR	B	50,000	51.22	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	UN	S	92,000	39.50	n/a	n/a	3,680.00	4.0
f LARA HUNT SMITH	FID	UOPIX	B	244	61.46	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	UOPIX	B	488	61.46	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	UOPIX	B	814	61.46	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VNCE	S	20,290	31.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VNCE	S	5,000	31.39	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		WSM	B	18,000	58.23	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	B	25,000	58.23	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADISON ST PARTNERS LLC	046	WY	B	15,000	30.24	n/a	6-Dec	750.00	5.0
<b>TOTAL (Trade Date):</b>								<b>65,260.35</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/06	STATE TEACHERS RET SYS	047	CAM	S	20,300	56.51	n/a	n/a	1015.00 0.0
AO,CXL	12/09	PCO CAPITAL MGMT.	084	GM	B	15,000	40.86	n/a-2013-12-10		450.00 0.0
AO,	12/09	PCO CAPITAL MGMT.	084	GM	B	15,000	40.84	n/a-2013-12-10		450.00 0.0
AO,	12/06	STATE TEACHERS RET SYS	047	NVDA	S	20,200	15.73	n/a	n/a	1010.00 0.0
AO,	12/06	STATE TEACHERS RET SYS	047	STLD	S	21,000	18.92	n/a	n/a	1050.00 0.0
AO,	12/06	STATE TEACHERS RET SYS	047	XOM	S	19,000	94.94	n/a	n/a	950.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,025.00</b>

TOTAL (Trade Date):	65,260.35
TOTAL (AO, CXL, CRT):	4,025.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>69,285.35</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 10-Dec.  
NONE

MRI Securities without Trade Activity on 10-Dec.  
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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)**