



Daily Compliance Activity Report

Trade Date: 10/25/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ALGN	S	120,470	56.15	n/a	n/a	3,614.10	3.0
KLEINHEINZ CAP PART	031	AN	S	73,400	49.05	n/a	25-Oct	3,670.00	5.0
NEUBERGER BERMAN	036	ATVI	B	25,000	17.50	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	AWK	B	8,270	42.24	n/a	n/a	330.80	4.0
B BUCK CAPITAL MGMT		BBY	B	20,000	43.26	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	BEBE	S	35,000	5.89	n/a	n/a	1,050.00	3.0
GEORGE WEISS	278	BIDU	S	3,000	160.57	n/a	n/a	90.00	3.0
MSF CAPITAL (ENTRUST)	040	CFN	S	38,869	38.96	n/a	n/a	1,943.45	5.0
B BUCK CAPITAL MGMT		CLX	C	20,000	88.36	n/a	n/a	non-brg	4.0
FORTRESS INVESTMENT (US)	036	CMI	B	14,700	135.02	n/a	11-Oct	294.00	2.0
PATTEN & PATTEN	025	CNI	S	400	110.05	n/a	n/a	20.00	5.0
MACELLUM CAPITAL	086	COH	SS	41,000	49.83	23-Oct	23-Oct	1,230.00	3.0
B BUCK CAPITAL MGMT		COMM	B	1,000	15.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		COMM	S	1,000	15.03	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	025	CP	B	340	143.21	24-Oct	25-Oct	17.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CRM	S	26,349	54.30	n/a	n/a	1,053.96	4.0
BESSEMER INVESTMENT	085	CVS	B	3,570	61.28	n/a	n/a	142.80	4.0
B BUCK CAPITAL MGMT		DECK	S	25,000	67.87	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	DG	B	5,080	59.51	n/a	n/a	203.20	4.0
f DAVID GEORGE BUCK	FID	DIS	B	30	0.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DSW	B	10,000	84.18	n/a	n/a	non-brg	4.0
GALT INVESTMENT	041	ECL	B	10,000	104.93	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		EIGI	B	1,000	12.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		EIGI	S	1,000	11.10	n/a	n/a	non-brg	2.5
ROSEDALE CAPITAL	046	EMC	S	25,000	23.80	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		ETN	S	7,000	71.83	n/a	25-Oct	non-brg	3.0
GEORGE WEISS	278	ETN	S	2,500	70.87	n/a	25-Oct	75.00	3.0
PATTEN & PATTEN	025	EWA	S	1,000	27.04	n/a	n/a	50.00	5.0
f JASON ERIC COHEN	FID	FB	B	5	1.34	n/a	n/a	0.00	0.0
TROUBH PART	070	FCX	B	10,000	37.45	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	F	B	31,619	17.60	n/a	25-Oct	1,264.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GPI	C	20,000	64.67	25-Oct	24-Oct	non-brg	4.0
TYVOR CAPITAL LLC	031	GPS	B	19,851	36.45	n/a	n/a	595.53	3.0
TYVOR CAPITAL LLC	031	GPS	SS	20,000	36.65	n/a	n/a	600.00	3.0
NOKOMIS PARTNERS	031	HCOM	S	400	27.00	n/a	n/a	12.00	3.0
NEUBERGER BERMAN	036	HTZ	B	110,000	23.85	n/a	n/a	4,400.00	4.0
f JOSEPH CIRO AMATURO	FID	JBLU	B	10000	7.57	n/a	18-Oct	0.00	0.0
RIDGECREST INV MGMT LLC	028	KBR	S	12,500	32.92	n/a	n/a	500.00	4.0
MACELLUM CAPITAL	086	KMX	S	22,000	47.53	n/a	n/a	660.00	3.0
Õ Jack Chernus		KRA	S	300	19.53	n/a	n/a	0.00	0.0
Õ Jack Chernus		KRA	S	300	19.53	n/a	n/a	0.00	0.0
Õ Jack Chernus		KRA	S	300	19.53	n/a	n/a	0.00	0.0
Õ Jack Chernus		KRA	S	500	19.55	n/a	n/a	0.00	0.0
MACELLUM CAPITAL	086	KSS	SS	38,000	54.76	n/a	30-Sep	1,140.00	3.0
ACK ASSET	028	LAD	SS	30,000	63.87	n/a	n/a	900.00	3.0
SCOPUS FUND	041	LAD	B	10,000	64.00	n/a	n/a	400.00	4.0
IRIDIAN ASSET MGMT.	036	LDOS	B	27,872	47.26	n/a	n/a	1,393.60	5.0
RIDGECREST INV MGMT LLC	028	LEA	B	4,000	77.59	n/a	25-Oct	160.00	4.0
B BUCK CAPITAL MGMT		LEG	C	10,000	29.98	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		LEG	C	89,600	30.29	n/a	n/a	non-brg 4.0
GALT INVESTMENT	041	LF	S	5,650	9.20	n/a	n/a	169.50 3.0
COOPER CREEK PART	028	LPX	B	1,400	17.76	n/a	25-Oct	56.00 4.0
KENNEDY CAPITAL	046	LRN	B	19,000	18.76	n/a	n/a	760.00 4.0
BESSEMER INVESTMENT	085	LTD	B	3,510	61.56	n/a	n/a	140.40 4.0
DONALD SMITH	088	LUV	S	600,000	17.19	25-Oct	25-Oct	18,000.00 3.0
GEORGE WEISS	278	MDLZ	SS	10,000	33.28	n/a	n/a	300.00 3.0
HARVEST MGMT (JMP)	029	MEG	S	570	15.00	n/a	n/a	28.50 5.0
NEUBERGER BERMAN	036	MMM	B	10,000	123.53	n/a	n/a	400.00 4.0
PROSPECTOR PARTNERS LLC	036	MRH	S	10,000	27.31	n/a	n/a	400.00 4.0
BESSEMER INVESTMENT	085	MRO	B	3,730	35.33	n/a	n/a	149.20 4.0
BALYASNY ASSET MGMT	044	M	B	52,881	44.89	30-Sep	30-Sep	2,644.05 5.0
BESSEMER INVESTMENT	085	M	B	5,890	45.08	30-Sep	30-Sep	235.60 4.0
MACELLUM CAPITAL	086	M	S	23,000	44.85	30-Sep	30-Sep	690.00 3.0
B BUCK CAPITAL MGMT		NCLH	S	60,820	32.81	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		NCLH	S	7,700	33.20	n/a	n/a	non-brg 0.8
GEORGE WEISS	278	NCLH	S	7,500	32.69	n/a	n/a	225.00 3.0
1798 CAP/LOMBARD ASSET	040	NOV	C	15,000	82.20	n/a	n/a	750.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NP	S	9,000	41.31	n/a	n/a	360.00	4.0
SANDLER O'NEILL ASSET	031	PBCT	B	25,000	14.55	n/a	18-Oct	1,250.00	5.0
f DAVID GEORGE BUCK	FID	PINC	B	1000	31.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	B	20,000	21.29	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PIR	B	30,000	21.42	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	PRGO	B	50	130.54	n/a	24-Oct	2.50	5.0
ASCEND PARTNERS	033	RBA	C	57,627	19.51	n/a	n/a	1,728.81	3.0
COUGAR TRADING	044	RYN	B	10,000	49.98	25-Oct	25-Oct	500.00	5.0
JSRG CAPITAL PARTNERS LP	084	RYN	B	12,500	49.54	25-Oct	25-Oct	1,250.00	10.0
ZWEIG FUNDS	006	RYN	S	60,000	48.06	25-Oct	25-Oct	3,000.00	5.0
PIMCO	084	SAVE	S	50,000	42.17	18-Oct	18-Oct	1,000.00	2.0
CASTLEROCK	040	SBUX	B	5,000	79.73	30-Sep	11-Oct	100.00	2.0
B BUCK CAPITAL MGMT		SIG	B	10,000	75.60	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SIRO	B	400	69.63	n/a	n/a	20.00	5.0
COHE & STEERS	041	SKT	B	45,206	35.46	n/a	n/a	1,808.24	4.0
TROVE CAPITAL MANAGEMENT	237	SPLS	SS	20,000	15.89	n/a	n/a	600.00	3.0
T. ROWE PRICE	243	SSD	B	50,838	35.54	n/a	n/a	2,033.52	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SSI	S	20,000	20.53	30-Sep	30-Sep	non-brg	4.0
f DAVID GEORGE BUCK	FID	STDAF	S	1000	57.02	n/a	n/a	0.00	0.0
GEORGE WEISS	278	SYX	SS	10,000	32.81	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	TGT	B	3,730	63.81	n/a	n/a	149.20	4.0
PATTEN & PATTEN	025	TIF	S	100	79.22	n/a	n/a	5.00	5.0
CADIAN CAPITAL	041	TXN	SS	25,000	39.93	n/a	n/a	750.00	3.0
GEORGE WEISS	278	UAL	B	26,200	31.58	25-Oct	25-Oct	786.00	3.0
MAPLE ROW	006	UAL	B	5,000	30.69	25-Oct	25-Oct	150.00	3.0
PATTEN & PATTEN	025	VEU	B	500	50.54	n/a	n/a	25.00	5.0
EPOCH INV MGMT	030	WCN	S	3,339	44.30	n/a	n/a	100.17	3.0
B BUCK CAPITAL MGMT		WHR	B	10,000	145.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WSM	B	15,000	53.78	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	281	WYNN	B	25,000	166.54	n/a	n/a	1,250.00	5.0
KORTRIGHT CAPITAL PARTNERS	025	WY	S	20,000	31.41	25-Oct	25-Oct	600.00	3.0
MELLON/BANK OF NEW YORK	046	YHOO	S	42,042	32.70	n/a	n/a	1,681.68	4.0
WADDELL AND REED	047	ZMH	B	56,951	85.46	n/a	n/a	2,278.04	4.0

TOTAL (Trade Date):

75,486.61

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	10/24	MERRILL ASSET/BLACKROCK	085	V	S	11,300	201.41-2013-09-25-2013-10-14	565.00	0.0
AO,CRT	10/24	MERRILL ASSET/BLACKROCK	085	V	S	11,300	201.41-2013-09-25-2013-10-14	452.00	0.0

TOTAL (AO, CXL, CRT) :	-113.00
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TOTAL (Trade Date) :	75,486.61
TOTAL (AO, CXL, CRT) :	-113.00

TOTAL (RUN DATE) / NFS:	75,373.61
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	10/24	BUCK CAPITAL MGMT.	DSW	B	10,000	83.13	n/a	n/a	400.00
CRT	10/24	BUCK CAPITAL MGMT	DSW	B	10,000	82.81	n/a	n/a	400.00 4.0

MRI Securities with Trade Activity on 25-Oct.

GPI, LUV, RYN, UAL, WY

MRI Securities without Trade Activity on 25-Oct.

ALV, ALK, SHPG, UA

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)