



Daily Compliance Activity Report

Trade Date: 11/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	AAPL	S	1000	515.54	n/a	n/a	0.00	0.0
f JOHN M HICKEY	FID	AB	S	800	21.62	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	036	ADSK	B	75,446	42.74	n/a	n/a	3,772.30	5.0
B BUCK CAPITAL MGMT		AEO	S	4,800	16.06	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	AMGN	S	2500	112.60	n/a	n/a	0.00	0.0
PENNANT CAP MGMT	250	AMGN	S	40,000	112.31	n/a	n/a	800.00	2.0
PENNANT CAP MGMT	250	ANF	SS	38,000	35.00	n/a	n/a	1,140.00	3.0
ROTHSCHILD ASSET	040	AXLL	S	13,200	43.13	n/a	n/a	528.00	4.0
B BUCK CAPITAL MGMT		AXL	S	24,900	18.98	n/a	19-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		AXP	S	3,400	83.32	15-Nov	21-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		BAC	S	38,300	15.41	n/a	19-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		BBBY	C	1,400	76.66	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BCC	S	19,900	24.62	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BHI	S	4,900	57.50	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	BJRI	S	12,500	28.65	n/a	n/a	500.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		CAR	S	19,000	35.46	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	CB	S	1,500	95.97	n/a	n/a	60.00	4.0
⚡ BUCK CAPITAL MGMT		CERN	C	3,700	57.29	n/a	n/a	non-brg	1.0
⚡ BRIAN P CLIFFORD	FID	CI	B	500	87.07	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CNC	S	8,100	56.98	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		COF	S	7,200	69.64	n/a	21-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CONN	S	2,300	60.20	n/a	n/a	non-brg	1.0
CLEARLINE CAPITAL LLC	006	CPRT	S	19,386	32.83	n/a	n/a	581.58	3.0
⚡ BUCK CAPITAL MGMT		CRMB	S	50,000	1.00	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		C	S	6,200	51.60	n/a	19-Nov	non-brg	1.0
FORTRESS INVESTMENT (US)	036	DE	SS	10,200	83.90	n/a	n/a	204.00	2.0
J. GOLDMAN	028	DE	B	28,000	83.64	n/a	n/a	1,120.00	4.0
⚡ BUCK CAPITAL MGMT		DFS	S	8,700	51.92	n/a	21-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DGX	S	5,800	61.31	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DG	S	4,800	57.74	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DHI	S	26,000	19.01	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORTRESS INVESTMENT (US)	036	DHR	B	23,300	74.23	n/a	n/a	466.00	2.0
⚡ BUCK CAPITAL MGMT		DKS	S	7,000	54.86	20-Nov	20-Nov	non-brg	1.0
SCOPUS FUND	041	DLTR	S	38,491	56.40	n/a	21-Nov	1,539.64	4.0
EGS ASSOCIATES LP	091	DNKN	B	4,500	47.00	19-Nov[i]	20-Nov	225.00	5.0
⚡ BUCK CAPITAL MGMT		DSW	S	100,000	46.44	n/a	n/a	non-brg	4.0
FIRST INV MGMT CO	006	DVN	B	13,800	62.59	n/a	n/a	690.00	5.0
ROVER CAPITAL PARTNERS	040	EAT	SS	4,000	46.64	n/a	30-Oct	160.00	4.0
⚡ BUCK CAPITAL MGMT		ELLI	S	1,900	27.42	n/a	n/a	non-brg	1.0
f JACK H CHERNUS	FID	EPB	S	660	40.95	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ETN	S	4,500	72.32	31-Oct	6-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		EXPE	C	4,500	62.27	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	EXPE	B	3000	62.47	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FINL	S	9,700	25.91	n/a	20-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		FL	S	9,500	36.58	n/a	20-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		FNP	S	3,700	30.69	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		FNP	S	60,000	30.68	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FTK	S	17,000	20.26	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		FWM	S	11,100	19.49	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		FWM	S	5,064	19.42	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		F	C	16,900	17.09	n/a	21-Nov	non-brg	1.0
BUCK CAPITAL MGMT		GCO	S	20,000	72.04	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	GDX	B	44,600	22.54	n/a	n/a	1,338.00	3.0
BUCK CAPITAL MGMT		GES	C	8,700	34.52	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	GE	B	63,800	26.90	n/a	n/a	1,276.00	2.0
BUCK CAPITAL MGMT		GIII	S	2,200	57.02	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GME	B	20,000	47.24	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS	280	GM	B	5,000	38.90	n/a	21-Nov	250.00	5.0
BUCK CAPITAL MGMT		GM	S	19,000	38.68	n/a	21-Nov	non-brg	1.0
CAERUS GLOBAL	041	GM	S	1,400	39.00	n/a	21-Nov	56.00	4.0
CAPITAL RESEARCH GROUP		296	GM	S	250,000	38.85	n/a	21-Nov	8,750.00
FARBER	085	GM	B	32,500	38.43	n/a	21-Nov	1,300.00	4.0
SEVEN LOCKS CAPITAL	025	GPK	B	50,000	8.62	n/a	n/a	1,500.00	3.0
CR INTRINIC INVESTMENT	044	GT	S	21,891	21.81	n/a	n/a	656.73	3.0
FORTRESS INVESTMENT (US)	036	GT	B	5,000	21.74	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		HAL	S	4,900	53.67	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HBI	S	20,000	69.21	31-Oct	31-Oct	non-brg	4.0
BUCK CAPITAL MGMT		HCA	S	10,100	44.28	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HDS	S	20,600	20.85	n/a	n/a	non-brg	1.0
ROVER CAPITAL PARTNERS	040	HOG	SS	2,000	67.35	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT		HOS	C	1,500	50.27	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HOS	SS	19,900	50.04	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HTZ	B	42,000	23.76	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HTZ	S	24,800	23.73	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IJH	C	14,200	130.26	n/a	n/a	non-brg	1.0
BROADARCH CAP/OLD NEWC	006	IP	B	2,000	45.58	n/a	21-Nov	80.00	4.0
BRONSON POINT	036	IP	B	50,000	45.59	n/a	21-Nov	1,500.00	3.0
BUCK CAPITAL MGMT		IP	S	5,400	46.09	n/a	21-Nov	non-brg	1.0
HAWKEYE CAPITAL	087	IP	S	100,000	45.61	n/a	21-Nov	3,000.00	3.0
BUCK CAPITAL MGMT		IWM	C	30,200	111.03	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JBLU	S	112,500	8.85	n/a	4-Nov	non-brg	3.0
BUCK CAPITAL MGMT		JBLU	S	99,200	8.84	n/a	4-Nov	non-brg	1.0
CORNERSTONE	030	JCI	S	104,088	50.54	21-Nov	21-Nov	3,122.64	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROVE CAPITAL MANAGEMENT	237	JCP	B	20,000	9.12	n/a	21-Nov	600.00	3.0
⌘ BUCK CAPITAL MGMT		JIVE	S	32,200	10.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JPM	S	6,500	57.03	n/a	19-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KEG	S	35,700	8.37	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KMT	S	11,000	47.10	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KND	S	11,600	16.03	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	5,400	80.25	6-Nov	6-Nov	non-brg	1.0
FOUNDRY PARTNERS LLC	030	KORS	B	14,630	80.51	6-Nov	6-Nov	585.20	4.0
J. GOLDMAN	028	KS	SS	14,000	52.58	n/a	n/a	560.00	4.0
⌘ BUCK CAPITAL MGMT		LEN	S	3,100	34.66	n/a	n/a	non-brg	1.0
CHARTERBRIDGE CAPITAL	025	LGF	S	7,333	32.79	n/a	n/a	219.99	3.0
⌘ BUCK CAPITAL MGMT		LPNT	B	20,100	49.97	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LPNT	S	5,600	50.03	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LPX	S	21,500	16.00	n/a	21-Nov	non-brg	1.0
SCOPUS FUND	041	LPX	S	25,000	16.12	n/a	21-Nov	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		LZB	S	3,300	27.73	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	MAS	SS	85,800	21.56	n/a	n/a	1,716.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	250	MDP	B	35,000	52.01	n/a	n/a	1,050.00	3.0
⚡ BUCK CAPITAL MGMT		MDY	C	6,900	237.42	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MOH	S	13,100	31.73	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MS	S	18,100	30.84	n/a	15-Nov	non-brg	1.0
⚡ JOHN M HICKEY	FID	MU	S	800	19.26	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MWV	S	13,600	34.28	30-Oct	30-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		M	S	8,200	50.79	14-Nov	14-Nov	non-brg	1.0
FIRST NEW YORK	086	NOK	B	20,000	7.93	n/a	n/a	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		NVGS	B	25,000	19.00	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		NVGS	B	50,000	20.18	n/a	n/a	non-brg	4.0
CLEARLINE CAPITAL LLC	006	OPK	SS	10,000	10.78	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		OWW	S	25,300	6.93	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	PCAR	SS	33,100	55.84	n/a	29-Oct	662.00	2.0
⚡ BUCK CAPITAL MGMT		PCLN	C	300	1157.82	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PETM	C	6,500	74.04	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PFE	S	23,500	32.13	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PII	S	10,000	133.22	n/a	n/a	non-brg	4.0
J. GOLDMAN	028	PKG	SS	21,000	62.56	n/a	19-Nov	840.00	4.0
KENNEDY CAPITAL	046	PLCE	B	5,572	51.87	n/a	19-Nov	222.88	4.0
f MANNY I KORMAN	FID	PNRA	B	3000	174.89	22-Oct	30-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		PVH	S	3,700	131.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RAD	S	190,100	5.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RH	S	30,000	73.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	S	500	73.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RKT	S	800	94.77	6-Nov	19-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		RL	S	1,000	172.45	n/a	7-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		ROST	S	25,000	80.63	n/a	19-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		R	S	5,900	69.07	23-Oct	23-Oct	non-brg	1.0
PRIMECAP MGMT	084	SCHW	S	21,229	24.93	n/a	n/a	849.16	4.0
ß BUCK CAPITAL MGMT		SLM	S	5,400	26.09	18-Nov	18-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		SPN	S	17,000	27.01	n/a	n/a	non-brg	1.0
ROVER CAPITAL PARTNERS	040	SPY	SS	4,000	179.23	n/a	n/a	160.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	SSI	B	29,432	21.43	n/a	21-Nov	1,177.28	4.0
⌘ BUCK CAPITAL MGMT		STT	S	8,500	71.70	n/a	15-Nov	non-brg	1.0
ZWEIG FUNDS	006	SUNE	B	50,000	12.90	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		UAL	S	7,100	37.17	20-Nov	20-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UCP	S	19,500	14.32	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	UNP	B	13,000	160.84	n/a	n/a	520.00	4.0
⌘ BUCK CAPITAL MGMT		URBN	S	4,000	38.95	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		URI	S	6,000	66.76	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	VECO	B	1,400	30.58	n/a	n/a	42.00	3.0
⌘ BUCK CAPITAL MGMT		VMC	S	7,500	56.42	n/a	n/a	non-brg	1.0
PENNANT CAP MGMT	250	VPRT	B	23,000	56.04	n/a	n/a	690.00	3.0
⌘ BUCK CAPITAL MGMT		V	S	1,000	201.16	31-Oct	21-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WAG	S	2,000	60.12	n/a	n/a	non-brg	1.0
FORTRESS INVESTMENT (US)	036	WBC	B	20,400	85.18	n/a	28-Oct	408.00	2.0
⌘ BUCK CAPITAL MGMT		WCIC	S	18,200	17.96	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	WHR	SS	4,900	147.91	n/a	n/a	98.00	2.0
B BUCK CAPITAL MGMT		XPO	S	7,500	21.04	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	YUM	S	12,500	73.50	n/a	30-Oct	500.00	4.0
B BUCK CAPITAL MGMT		ZTS	S	14,600	31.49	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								50,596.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/20	KORTRIGHT CAPITAL PARTNERS	025	JOSB	B	15,000	49.97	n/a	n/a	450.00 0.0
AO,CRT	11/20	KORTRIGHT CAPITAL PARTNERS	025	JOSB	B	15,000	49.97	n/a	n/a	450.00 0.0
AO,CXL	11/20	KORTRIGHT CAPITAL PARTNERS	025	LPX	B	50,000	15.91	n/a-2013-11-21		1500.00 0.0
AO,CRT	11/20	KORTRIGHT CAPITAL PARTNERS	025	LPX	B	50,000	15.91	n/a-2013-11-21		1500.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	50,596.40
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	50,596.40
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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 21-Nov.

JCI

MRI Securities without Trade Activity on 21-Nov.

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)