



# Daily Compliance Activity Report

Trade Date: 11/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO / M&I FUNDS	047	ACAS	S	200,000	13.92	n/a	n/a	8,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>15.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>AMRN</b>	<b>B</b>	<b>7500</b>	<b>1.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AMZN</b>	<b>B</b>	<b>10,000</b>	<b>346.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>B</b>	<b>30,000</b>	<b>35.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>B</b>	<b>50,000</b>	<b>35.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	AVGO	S	560,000	43.92	n/a	n/a	22,400.00	4.0
<b>f</b> ANTHONY SUTERA	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>1000</b>	<b>17.46</b>	<b>n/a</b>	<b>7-Nov</b>	<b>0.00</b>	<b>0.0</b>
EGS ASSOCIATES LP	091	BONT	B	10,000	11.58	n/a	<b>8-Nov</b>	500.00	5.0
MAPLE ROW	006	CAR	S	7,589	31.66	n/a	n/a	227.67	3.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>2000</b>	<b>5.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	CBL	B	1,800	18.17	n/a	n/a	180.00	10.0
<b>B</b> BUCK CAPITAL MGMT		<b>CRMB</b>	<b>S</b>	<b>1,100</b>	<b>1.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
JSRG CAPITAL PARTNERS LP	084	DAL	S	40,000	27.24	23-Oct	4-Nov	1,200.00	3.0
PATTEN & PATTEN	025	DBA	S	300	24.88	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		DG	B	50,000	57.20	n/a	n/a	non-brg	4.0
WOODWAY FINANCIAL	031	EEP	S	75,000	29.25	n/a	n/a	2,250.00	3.0
MAPLE ROW	006	ETFC	B	10,000	17.48	n/a	n/a	300.00	3.0
f JOSEPH CIRO AMATURO	FID	FBIOX	B	122	164.14	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FDP	S	30,262	26.69	n/a	n/a	1,210.48	4.0
CAMBIAR CAP	046	FINL	S	91,300	24.63	n/a	7-Nov	3,652.00	4.0
MERRILL ASSET/BLACKROCK	085	FNF	B	5,600	27.08	n/a	n/a	224.00	4.0
⚡ BUCK CAPITAL MGMT		FNP	S	30,000	28.73	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FTK	B	23,800	21.26	n/a	n/a	non-brg	4.0
f ANGELO CHRISTOS EFST	FID	FWM	B	100	21.14	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	FWM	B	300	21.19	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FWM	B	24,000	21.21	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	FWM	B	700	21.13	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FWM	B	200	21.82	n/a	n/a	0.00	0.0
f NILSA VAZQUEZ	FID	FWM	B	500	21.31	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GES	SS	31,000	32.12	n/a	17-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GME	B	10,000	55.31	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GNC	S	30,000	57.64	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BLUE MOUNTAIN CAPITAL	087	GPS	S	45,000	40.10	n/a	n/a	1,350.00	3.0
⌘ BUCK CAPITAL MGMT		GPS	C	91,320	40.43	n/a	n/a	non-brg	3.0
TRUST CO/COWEN/CALF.	040	GPS	S	71,324	41.05	n/a	n/a	3,566.20	5.0
Õ Jack Chernus		GSM	S	2000	17.00	n/a	n/a	0.00	0.0
Õ Jack Chernus		GSM	S	500	17.10	n/a	n/a	0.00	0.0
Õ Jack Chernus		GSM	S	500	17.10	n/a	n/a	0.00	0.0
Õ Jack Chernus		GSM	S	500	17.10	n/a	n/a	0.00	0.0
Õ Jack Chernus		GSM	S	500	17.10	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	GT	S	30,000	20.95	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		HD	B	10,000	75.28	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	HEDJ	B	150	54.75	n/a	n/a	7.50	5.0
⌘ BUCK CAPITAL MGMT		HTZ	B	47,400	21.25	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	IP	S	275	43.93	n/a	25-Oct	13.75	5.0
BADGE CAPITAL	030	IRET	B	2,000	8.35	n/a	n/a	70.00	4.0
PATTEN & PATTEN	025	IXN	B	100	78.50	n/a	n/a	5.00	5.0
TIEDEMANN/TIG ADVISORS LLC006		IYK	SS	5,000	93.27	n/a	n/a	250.00	5.0
BLUE MOUNTAIN CAPITAL	087	JNK	S	350,000	40.45	n/a	n/a	10,500.00	3.0
PATTEN & PATTEN	025	KMB	S	40	107.91	n/a	6-Nov	2.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		KORS 11 C65	C	750	13.35	n/a	n/a	non-brg	300.0
JSRG CAPITAL PARTNERS LP	084	LCC	S	50,000	22.46	24-Oct	4-Nov	1,500.00	3.0
ß BUCK CAPITAL MGMT		LEN	B	30,000	32.83	n/a	n/a	non-brg	4.0
KEYGROUP/KGLT	040	LNG	B	25,000	38.35	n/a	n/a	1,000.00	4.0
ROSEDALE CAPITAL	046	LPX	B	35,000	15.75	n/a	8-Nov	1,400.00	4.0
Õ Ryan Mueller		LPX	B	300	15.64	n/a	8-Nov	0.00	0.0
SCOPUS FUND	041	LPX	S	10,000	15.58	n/a	8-Nov	400.00	4.0
ß BUCK CAPITAL MGMT		LVS	S	20,000	69.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	S	30,100	69.93	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		LZB	B	10,000	23.34	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		LZB	B	25,000	23.40	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	M	S	88,000	45.98	n/a	8-Nov	2,640.00	3.0
ß BUCK CAPITAL MGMT		NCLH	S	30,000	31.53	n/a	n/a	non-brg	4.0
HALCYON LLC	041	NRG	SS	34,000	28.07	n/a	n/a	1,020.00	3.0
PATTEN & PATTEN	025	NSC	S	45	85.19	24-Oct	24-Oct	2.25	5.0
ß BUCK CAPITAL MGMT		OWW	B	70,000	7.32	n/a	n/a	non-brg	3.0
NEW VERNON/SF INVESTMENTS	031	PCP	B	19,500	251.20	8-Nov	24-Oct	975.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	POOL	B	29,177	53.54	n/a	n/a	1,167.08	4.0
FOUNDRY PARTNERS LLC	030	PRU	B	500	87.26	n/a	n/a	20.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>B</b>	<b>30</b>	<b>2.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RDN</b>	<b>S</b>	<b>36,998</b>	<b>12.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RKT</b>	<b>B</b>	<b>6,400</b>	<b>94.34</b>	<b>6-Nov</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>
NEW VERNON/SF INVESTMENTS	031	ROK	B	43,680	111.51	n/a	n/a	2,184.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>R</b>	<b>B</b>	<b>8,000</b>	<b>64.37</b>	<b>23-Oct</b>	<b>23-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CADIAN CAPITAL	041	SONC	S	25,000	18.99	n/a	n/a	750.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>SYT</b>	<b>C</b>	<b>99,200</b>	<b>32.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MAPLE ROW	006	TER	B	5,000	17.12	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	TSCO	S	18,650	71.14	n/a	n/a	746.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TWTR</b>	<b>B</b>	<b>20</b>	<b>45.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	070	TWX	S	7,500	67.20	n/a	n/a	375.00	5.0
NEW VERNON/SF INVESTMENTS	031	UAL	B	63,000	35.40	25-Oct	8-Nov	3,150.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>URI</b>	<b>B</b>	<b>8,000</b>	<b>62.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE OF WISCONSIN	047	VZ	B	10,200	49.60	n/a	n/a	408.00	4.0
KEY ASSET MGMT/VICTORY	220	WMT	B	139,510	77.17	n/a	16-Oct	5,580.40	4.0
PATTEN & PATTEN	025	WY	B	300	29.12	25-Oct	8-Nov	15.00	5.0
WOOSTER CAPITAL	044	WY	B	50,000	29.04	25-Oct	8-Nov	2,500.00	5.0
INTERVAL PARTNERS	033	XLP	SS	25,000	42.20	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		XPO	B	50,000	19.59	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								84,156.33	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/06	COLUMBUS CIRCLE	036	SREV	S	9,011	9.37	n/a	n/a	360.44 0.0
AO,CXL	11/07	CAERUS GLOBAL	041	TPX	S	744	46.87	n/a	n/a	29.76 0.0
AO,CRT	11/07	CAERUS GLOBAL	041	TPX	S	744	46.87	n/a	n/a	29.76 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>360.44</b>
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TOTAL (Trade Date) :	84,156.33
TOTAL (AO, CXL, CRT) :	360.44

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>84,516.77</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	11/07	BUCK CAPITAL MGMT	BCC	B	20,000	22.50	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 8-Nov.

PCP

MRI Securities without Trade Activity on 8-Nov.

GD, SLXP

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)**