



Daily Compliance Activity Report

Trade Date: 10/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN M HICKEY	FID	AB	S	200	20.25	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	AEO	S	25,000	13.67	n/a	n/a	750.00	3.0
f ANTHONY SUTERA	FID	AREX	S	1000	30.00	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	ARR	S	13	0.87	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	AXP	C	9,899	76.20	n/a	16-Oct	395.96	4.0
FRED ALGER MGMT	300	AYI	B	17,870	97.76	n/a	n/a	643.32	4.0
LATEEF MGMT	033	BDNPRE	B	250	22.85	n/a	n/a	25.00	10.0
LIONEYE CAPITAL	040	BID	S	8,000	50.79	n/a	n/a	400.00	5.0
BASSWOOD PARTNERS	267	BK	B	4,323	31.33	n/a	16-Oct	172.92	4.0
HALCYON LLC	041	BPO	B	100,000	18.81	n/a	n/a	2,390.00	2.0
f FRANCIS MICHAEL MCCA	FID	BX	S	650	26.89	n/a	n/a	0.00	0.0
BTG PACTUAL	040	CAKE	SS	20,000	42.97	n/a	11-Oct	600.00	3.0
TUDOR INVESTORS	028	CCK	B	15,000	40.79	n/a	n/a	450.00	3.0
WATERFRONT CAP	028	CCL	SS	30,602	32.18	n/a	n/a	1,224.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	COF	S	50,000	72.20	15-Oct	15-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		CRMB	S	32,700	1.05	n/a	n/a	non-brg	1.0
SYMPHONY ASSET	033	CSCO	S	28,414	23.03	n/a	n/a	852.42	3.0
f JONATHAN RICHARD HAR	FID	CTRN	S	500	15.97	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	CVC	S	45,073	16.06	n/a	n/a	1,622.63	4.0
S.A.C. CAPITAL	044	CX	B	40,000	10.64	n/a	n/a	1,200.00	3.0
LATEEF MGMT	033	DAL	S	125	24.38	n/a	9-Oct	25.00	20.0
INTERVAL PARTNERS	033	DDS	SS	7,500	79.19	n/a	30-Sep	225.00	3.0
TUDOR INVESTORS	028	DD	B	10,000	59.21	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		DHI	B	85,000	17.76	n/a	n/a	non-brg	4.0
WAGONHOUND/NICOLAS	033	DPZ	B	6,861	66.67	n/a	16-Oct	274.44	4.0
B BUCK CAPITAL MGMT		DSW	B	25,000	81.51	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DSW	B	25,000	81.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DVN	S	16,000	62.79	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	ETH	B	8,000	25.31	n/a	n/a	240.00	3.0
TUDOR INVESTORS	028	EXPD	S	4,000	43.69	n/a	11-Oct	120.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	EXPR	B	23,000	22.39	n/a	n/a	690.00	3.0
MACELLUM CAPITAL	086	FIVE	B	22,000	46.11	n/a	4-Oct	660.00	3.0
INTERVAL PARTNERS	033	FOSL	S	4,000	118.47	n/a	n/a	120.00	3.0
S.A.C. CAPITAL	044	FOSL	S	35,000	118.68	n/a	n/a	1,050.00	3.0
T. ROWE PRICE	243	FOSL	B	111,710	119.35	n/a	n/a	4,468.40	4.0
B BUCK CAPITAL MGMT		FTK	B	20,000	22.81	n/a	n/a	non-brg	4.0
RIDGECREST INV MGMT LLC	028	F	S	25,000	17.23	n/a	16-Oct	1,000.00	4.0
B BUCK CAPITAL MGMT		GDP	B	15,000	25.25	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		GDP	S	15,000	27.52	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS	280	GM	B	25,000	35.13	n/a	16-Oct	1,250.00	5.0
CAERUS GLOBAL	041	GM	S	800	34.99	n/a	16-Oct	32.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	35.00	n/a	16-Oct	300.00	3.0
COLUMBUS CIRCLE	036	GPN	B	4,190	56.16	n/a	n/a	167.60	4.0
B BUCK CAPITAL MGMT		HBI	S	20,000	62.00	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	HCOM	S	1,810	27.02	n/a	n/a	54.30	3.0
PROSPECTOR PARTNERS LLC	036	HD	B	8,500	75.03	n/a	n/a	340.00	4.0
B BUCK CAPITAL MGMT		HTZ	S	20,000	23.47	n/a	n/a	non-brg	4.0
Õ Jack Chernus		HTZ	S	20	0.45	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ICE	B	1,922	195.18	n/a	n/a	76.88	4.0
SYMPHONY ASSET	033	INTC	B	29,119	23.59	n/a	n/a	873.57	3.0
TUDOR INVESTORS	028	ITT	S	3,000	36.47	n/a	n/a	90.00	3.0
Õ Nilsa Vazquez		IVR	B	1000	14.90	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JBLU	S	50,000	6.95	n/a	11-Oct	non-brg	1.0
CASTLE ARK	031	JBLU	B	61,475	6.93	n/a	11-Oct	1,844.25	3.0
STRONG/MARK GRONET	030	JBLU	B	41,505	6.98	n/a	11-Oct	1,245.15	3.0
LATEEF MGMT	033	JCI	S	100	42.13	n/a	11-Oct	25.00	25.0
CAISSE DEPOT PLACEMENT Q	257	JCP	B	200,000	7.41	27-Sep	14-Oct	6,000.00	3.0
SMITH MGMT/ALDEN GLOBAL		029 JCP	B	500,000	7.40		27-Sep 14-Oct	15,000.00	3.0
ROTHSCHILD ASSET	040	JNJ	B	58,541	90.88	n/a	n/a	2,341.64	4.0
ß BUCK CAPITAL MGMT		KEG	B	10,000	7.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KEG	B	60,000	7.22	n/a	n/a	non-brg	3.0
MAPLE ROW	006	KLAC	SS	5,000	62.77	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		KMT	S	20,000	44.58	n/a	n/a	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL		029 LCC	B	250,000	20.66		n/a 4-Oct	7,500.00	3.0
ß BUCK CAPITAL MGMT		LEN	B	30,000	33.54	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	LL	S	10,000	107.28	n/a	n/a	300.00	3.0
FRED ALGER MGMT	300	LNC	B	31,045	44.66	n/a	n/a	1,117.62	4.0
TUDOR INVESTORS	028	LPX	B	10,000	17.06	n/a	16-Oct	300.00	3.0
MACELLUM CAPITAL	086	LTM	SS	20,000	50.23	n/a	n/a	600.00	3.0
CAERUS GLOBAL	041	MCD	S	1,200	94.95	n/a	11-Oct	48.00	4.0
NEWLAND CAPITAL MGT	025	MCP	S	25,000	5.24	n/a	n/a	1,000.00	4.0
MACELLUM CAPITAL	086	MNRO	S	4,416	46.57	n/a	n/a	132.48	3.0
f JASON ERIC COHEN	FID	MTG	S	1000	8.16	n/a	n/a	0.00	0.0
HALCYON LLC	041	NCT	S	100,000	5.80	n/a	n/a	2,000.00	2.0
FRED ALGER MGMT	300	NUAN	S	138,100	17.46	n/a	n/a	4,971.60	4.0
LATEEF MGMT	033	NUE	S	100	49.67	n/a	n/a	25.00	25.0
TUDOR INVESTORS	028	OC	SS	5,000	38.22	n/a	n/a	150.00	3.0
STRONG/MARK GRONET	030	ORB	S	3,000	21.80	n/a	n/a	120.00	4.0
THIRD POINT MGMT	044	PAGP	S	100,000	22.00	n/a	n/a	4,000.00	4.0
ARDSLEY PARTNERS	280	PETM	SS	25,000	71.82	n/a	n/a	1,250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		PETM	SS	20,000	72.61	n/a	n/a	non-brg	4.0
	LATEEF MGMT	033	PG	S	100	78.06	n/a	9-Oct	30.00	30.0
	BTG PACTUAL	040	PNRA	S	5,000	161.68	n/a	11-Oct	150.00	3.0
	ARDSLEY PARTNERS	280	PNR	B	5,000	64.76	n/a	n/a	250.00	5.0
	TUDOR INVESTORS	028	PPG	S	5,000	166.64	n/a	n/a	150.00	3.0
ß	BUCK CAPITAL MGMT		RDN	S	105,000	14.24	n/a	n/a	non-brg	4.0
	CAERUS GLOBAL	041	RHP	S	626	35.41	n/a	n/a	25.04	4.0
Õ	Jack Chernus		SAVE	S	10	0.50	n/a	11-Oct	0.00	0.0
	SUFFOLK CAPITAL MGMT	040	SAVE	S	20,000	41.32	n/a	11-Oct	800.00	4.0
f	DAVID GEORGE BUCK	FID	SBUX	S	15	1.21	30-Sep	11-Oct	0.00	0.0
ß	BUCK CAPITAL MGMT		SCSS	S	67,600	18.02	n/a	n/a	non-brg	3.0
	PLATTE RIVER CAPITAL	046	SLM	B	89,000	25.62	n/a	9-Oct	3,560.00	4.0
ß	BUCK CAPITAL MGMT		SPN	B	20,000	25.62	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		SPN	B	40,000	25.39	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		SSI	S	25,000	20.39	30-Sep	30-Sep	non-brg	2.5
ß	BUCK CAPITAL MGMT		SSI	S	40,000	20.39	30-Sep	30-Sep	non-brg	2.5
	TUDOR INVESTORS	028	SWFT	S	10,000	20.00	11-Oct	11-Oct	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SWN	S	13,500	37.04	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		TMV	B	500	68.75	n/a	n/a	0.00	0.0
MADISON ST PARTNERS LLC	046	UPS	B	10,000	91.20	n/a	11-Oct	500.00	5.0
ARDSLEY PARTNERS	280	URI	B	5,000	59.98	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		VEEV	S	1,000	37.42	n/a	n/a	non-brg	2.5
MERRILL ASSET/BLACKROCK	085	V	S	3,300	195.43	25-Sep	14-Oct	132.00	4.0
f DAVID GEORGE BUCK	FID	WAG	S	5050	29.11	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL	040	WGO	S	63,400	27.31	n/a	n/a	1,902.00	3.0
ROXBURY CAPITAL (HOOD RIVER CAP)	033	WOOF	B	24,058	27.53		n/a	n/a	721.74 3.0
MACELLUM CAPITAL	086	WTW	B	10,000	40.00	n/a	n/a	300.00	3.0
f MICHAEL ALEXANDER SM	FID	WY	S	200	0.27	n/a	16-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	S	20	0.28	n/a	16-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	S	20	0.28	n/a	16-Oct	0.00	0.0
TUDOR INVESTORS	028	WY	S	25,000	29.29	n/a	16-Oct	750.00	3.0
LATEEF MGMT	033	XOM	B	125	86.94	n/a	n/a	31.25	25.0
LEVIN CAPITAL STRATEGIES	041	XOM	B	25,000	87.42	n/a	n/a	750.00	3.0
MACELLUM CAPITAL	086	ZUMZ	B	18,000	28.54	n/a	n/a	540.00	3.0

TOTAL (Trade Date):

86,846.29

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									86,846.29
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									86,846.29

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/15	BUCK CAPITAL MGMT	VEEV	B	1,000	20.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 16-Oct.
NONE

MRI Securities without Trade Activity on 16-Oct.
PCP, FDX

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)