



Daily Compliance Activity Report

Trade Date: 09/24/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	BBRY	C	100,000	8.59	n/a	n/a	3,000.00	3.0
ASCEND PARTNERS	033	BEAV	B	10,000	72.23	n/a	10-Sep	300.00	3.0
J. GOLDMAN	028	BIG	S	38,228	37.74	n/a	n/a	1,529.12	4.0
IMPALA ASSET MMT	040	CCL	B	150,000	34.53	n/a	n/a	6,000.00	4.0
FINDLAY PARK PART	085	CHD	S	48,000	62.23	n/a	11-Sep	4,480.83	9.0
WOODWAY FINANCIAL	031	CHD	B	53,100	62.21	n/a	11-Sep	2,655.00	5.0
ALLIANZ/NICOLAS APPLGATE	084	CMCSA	B	55,500	44.20		n/a	n/a	1,942.50 4.0
TUDOR INVESTORS	028	CMI	SS	5,000	134.72	n/a	18-Sep	150.00	3.0
WAGONHOUND/NICOLAS	033	CMI	B	5,532	133.31	n/a	18-Sep	221.28	4.0
ROVER CAPITAL PARTNERS	040	CPB	B	2,400	41.54	n/a	n/a	96.00	4.0
f DAVID GEORGE BUCK	FID	DIS	B	80	1.17	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DIS	S	30	1.03	n/a	n/a	0.00	0.0
J. GOLDMAN	028	ERJ	B	12,500	32.81	n/a	n/a	500.00	4.0
LOMAS CAPITAL	040	FITB	B	60,000	18.13	n/a	n/a	1,800.00	3.0
CAERUS GLOBAL	041	F	B	10,000	17.33	n/a	19-Sep	400.00	4.0
CAERUS GLOBAL	041	GM	S	5,000	37.68	n/a	23-Sep	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	S	48,109	37.51	n/a	23-Sep	1,443.27	3.0
NOKOMIS PARTNERS	031	HCOM	S	7,848	27.14	n/a	n/a	235.44	3.0
IMPALA ASSET MMT	040	IPI	S	50,000	16.28	n/a	n/a	2,000.00	4.0
TUDOR INVESTORS	028	IR	S	5,000	66.17	n/a	n/a	150.00	3.0
f YANAI A FRANK	FID	ITB	S	2010	22.81	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ITW	B	10,000	78.54	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	ITW	SS	5,000	78.09	n/a	n/a	150.00	3.0
ARDSLEY PARTNERS	280	IWM	SS	20,000	106.63	n/a	n/a	1,000.00	5.0
FIRST NY SEC/CHRIS	041	JBLU	S	20,000	6.86	n/a	9-Sep	1,000.00	5.0
f KEVIN MICHAEL O'GORM	FID	JCP	S	1000	11.96	n/a	23-Sep	0.00	0.0
LOMAS CAPITAL	040	JPM	B	20,200	50.98	n/a	17-Sep	606.00	3.0
f IAN L MILLER	FID	KMX	S	25	51.43	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	LAD	S	10	71.34	n/a	n/a	0.00	0.0
f CAROL ANNE LACHENAU	FID	LGND	B	56	44.41	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	8	43.80	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	8	43.80	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	9	43.81	n/a	n/a	0.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	35,000	17.60	n/a	20-Sep	1,050.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	086	LPX	B	35,000	17.60	n/a	20-Sep	1,400.00	4.0
TALON ASSET MGMT.	006	LVS	B	3,000	65.85	n/a	n/a	150.00	5.0
MERRILL ASSET/BLACKROCK	085	MA	S	1,000	690.97	12-Sep	13-Sep	40.00	4.0
IMPALA ASSET MMT	040	M	B	160,000	43.87	n/a	n/a	8,000.00	5.0
CORNERSTONE	030	NKE	S	114,408	69.53	n/a	24-Sep	3,432.24	3.0
ROARING BLUE LION MGMT	031	PLCE	S	7,600	57.11	n/a	n/a	304.00	4.0
f CHRISTOPHER ROBERT C	FID	PRGO	B	40	124.92	n/a	19-Sep	0.00	0.0
TUDOR INVESTORS	028	PWR	S	10,000	27.76	n/a	n/a	300.00	3.0
INTERVAL PARTNERS	033	RCL	B	25,000	38.05	n/a	n/a	750.00	3.0
f IAN L MILLER	FID	RDEN	S	25	36.48	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RH	B	30,000	64.30	n/a	n/a	non-brg	4.0
KORTRIGHT CAPITAL PARTNERS	025	SEE	B	10,000	27.50	n/a	n/a	300.00	3.0
f PATRICK TERENCE DUFF	FID	SHOR	S	24000	6.13	n/a	n/a	0.00	0.0
TALON ASSET MGMT.	006	SLB	B	2,500	87.58	n/a	n/a	125.00	5.0
TUDOR INVESTORS	028	ST	S	10,000	38.53	n/a	n/a	300.00	3.0
BTIG/MONT PELERIN	084	SWHC	SS	30,200	11.60	n/a	n/a	1,208.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	SWK	B	5,000	90.05	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		SWY	C	29,820	32.59	n/a	n/a	non-brg	4.0
f NILSA VAZQUEZ	FID	TACT	S	1000	12.56	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	TLM	B	10,000	10.94	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	040	UFI	S	32,700	23.61	n/a	n/a	1,308.00	4.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	28,203	23.94	n/a	n/a	846.09	3.0
BTIG/MONT PELERIN	084	WNC	S	43,000	11.61	n/a	24-Sep	1,720.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	63,825	11.59	n/a	24-Sep	1,914.75	3.0
f JONATHAN RICHARD HAR	FID	WTSL	B	2000	3.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WWW	C	20,000	56.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WWW	C	9,000	56.26	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	XHB	SS	10,000	31.17	n/a	n/a	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	82.32	n/a	n/a	450.00	3.0
ROVER CAPITAL PARTNERS	040	YUM	SS	4,500	72.33	9-Sep	9-Sep	180.00	4.0
f DOUGLAS R ROGERS	FID		B	11000	88.71	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

54,787.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/23	NEWLAND CAPITAL MGT	025	BLDR	B	20,000	5.93	n/a	n/a	600.00 3.0
AO,CXL	09/23	NEWLAND CAPITAL MGT	025	BLDR	B	20,000	5.93	n/a	n/a	800.00 0.0

TOTAL (AO, CXL, CRT) :	-200.00
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TOTAL (Trade Date) :	54,787.52
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS:	54,587.52
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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 24-Sep.
NONE

MRI Securities without Trade Activity on 24-Sep.
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)