



Daily Compliance Activity Report

Trade Date: 11/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	ACT	S	1600	164.55	30-Oct	13-Nov	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	B	10	13.52	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	10	42.51	n/a	n/a	0.00	0.0
SCOPUS FUND	041	AXL	B	25,000	18.87	n/a	14-Nov	1,000.00	4.0
f NICOLAS EVAN PAKLER	FID	BREFX	S	540	21.28	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BUFTX	B	436	20.62	n/a	n/a	0.00	0.0
J. GOLDMAN	028	CAT	S	21,000	83.73	n/a	n/a	840.00	4.0
FRED ALGER MGMT	300	CBS	S	4,850	60.49	n/a	n/a	174.60	4.0
B BUCK CAPITAL MGMT		CHS	SS	50,000	18.09	n/a	n/a	non-brg	4.0
PERELLA WEINBERG	085	CLX	C	29,674	93.30	14-Nov	n/a	1,483.70	5.0
CADIAN CAPITAL	041	CMG	S	1,000	548.53	18-Oct	30-Oct	30.00	3.0
B BUCK CAPITAL MGMT		CRMB	S	100,000	1.00	n/a	n/a	non-brg	1.0
LATEEF MGMT	033	DAL	S	500	28.05	23-Oct	4-Nov	50.00	10.0
CLOVIS CAPITAL	033	DAR	S	50,000	21.57	n/a	n/a	2,500.00	5.0
KAM ADVISORS LLC	041	DD	SS	21,000	61.88	n/a	n/a	630.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	DKS	S	10,000	55.67	n/a	14-Nov	300.00	3.0
HARVEST MGMT	029	DLTR	B	12,000	59.95	n/a	n/a	600.00	5.0
KAM ADVISORS LLC	041	DOW	SS	28,000	40.13	n/a	n/a	840.00	3.0
PERELLA WEINBERG	085	DRI	C	58,800	53.67	n/a	30-Oct	2,940.00	5.0
f YANAI A FRANK	FID	DVA	B	250	58.93	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FCNTX	B	26	99.48	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FDIVX	B	83	36.12	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	FL	B	60,300	36.66	n/a	14-Nov	1,809.00	3.0
INTERVAL PARTNERS	033	FL	S	10,000	36.78	n/a	14-Nov	300.00	3.0
PALISADE CAPITAL MANAGEMENT LLC	025	FL	S	258,219	36.68		n/a 14-Nov	10,328.76	4.0
SURVEYOR CAPITAL	251	FL	B	50,000	36.68	n/a	14-Nov	2,000.00	4.0
B BUCK CAPITAL MGMT		FTK	B	24,100	20.81	n/a	n/a	non-brg	4.0
HALCYON LLC	041	GM	B	50,000	38.60	n/a	13-Nov	1,500.00	3.0
MOORE CAPITAL	257	GM	B	50,000	38.90	n/a	13-Nov	1,500.00	3.0
f JASON ERIC COHEN	FID	HLF	B	30	0.80	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	20	0.50	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	IACI	S	15,788	57.82	n/a	n/a	631.52	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	INTC	S	500	24.50	n/a	n/a	50.00	10.0
HALCYON LLC	041	IRM	B	50,000	30.00	n/a	n/a	1,500.00	3.0
LIONEYE CAPITAL	040	IRM	S	100,000	29.88	n/a	n/a	5,000.00	5.0
f YANAI A FRANK	FID	ISRG	B	50	388.99	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JBLU	B	1000	8.69	n/a	4-Nov	0.00	0.0
LATEEF MGMT	033	JCI	S	500	49.11	30-Oct	30-Oct	50.00	10.0
FRED ALGER MGMT	300	LAMR	B	117,635	50.76	n/a	n/a	4,234.86	4.0
CORVEX CAPITAL	041	LBTYA	S	57,289	80.25	n/a	n/a	1,718.67	3.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	250,000	23.74	24-Oct	13-Nov	10,000.00	4.0
CR INTRINIC INVESTMENT	044	LEG	SS	22,000	29.56	n/a	n/a	660.00	3.0
STRONG/MARK GRONET	030	LFL	B	15,000	16.56	n/a	n/a	600.00	4.0
f YANAI A FRANK	FID	LNKD	S	65	230.60	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	LPX	B	1000	16.53	n/a	15-Nov	0.00	0.0
f EDWARD W WHEELER	FID	MET	S	110	2.49	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	MSFT	S	10,000	37.79	n/a	n/a	400.00	4.0
f JASON ERIC COHEN	FID	NFLX	B	40	348.78	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERGREEN	047	NOW	S	59,395	52.93	n/a	n/a	2,375.80	4.0
LATEEF MGMT	033	OI	S	500	33.48	n/a	n/a	50.00	10.0
f TIFFANY KANAGA	FID	ONVO	B	1500	12.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		OWW	B	70,000	6.86	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	PERY	S	51,963	14.74	n/a	n/a	1,558.89	3.0
CADIAN CAPITAL	041	PETM	C	25,000	74.23	n/a	n/a	750.00	3.0
FOUNDRY PARTNERS LLC	030	QCOM	B	750	71.91	n/a	n/a	30.00	4.0
B BUCK CAPITAL MGMT		RKT	B	5,300	95.01	6-Nov	15-Nov	non-brg	4.0
KORTRIGHT CAPITAL PARTNERS	025	RKT	B	20,000	95.22	6-Nov	15-Nov	600.00	3.0
f MANNY I KORMAN	FID	SAVE	B	3000	44.37	18-Oct	4-Nov	0.00	0.0
f EDWARD W WHEELER	FID	SCSC	S	110	1.75	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	STT	S	145,000	70.71	n/a	15-Nov	5,800.00	4.0
f MICHAEL C PERILLO	FID	SWN	S	80	36.28	n/a	n/a	0.00	0.0
EVERGREEN	047	VIAB	S	125,000	80.15	n/a	n/a	5,000.00	4.0
f TIFFANY KANAGA	FID	VJET	B	350	58.21	n/a	n/a	0.00	0.0
EVERCORE WEALTH MGMT	047	VNDA	S	31	14.70	n/a	n/a	1.24	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERGREEN	047	VNDA	S	99,548	14.70	n/a	n/a	3,981.92	4.0
SAC CHRIS C	041	VNDA	B	58,940	14.66	n/a	n/a	1,768.20	3.0
EVGR	047	VNDA	S	421	14.70	n/a	n/a	16.84	4.0
f IAN L MILLER	FID	VXX	B	15	47.19	n/a	n/a	0.00	0.0
HARVEST MGMT	029	WMT	SS	9,000	79.07	15-Nov	15-Nov	450.00	5.0
CAERUS GLOBAL	041	WY	B	34,000	29.73	25-Oct	15-Nov	1,360.00	4.0
B BUCK CAPITAL MGMT		ZU	B	1,000	22.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		ZU	S	1,000	39.00	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):								77,414.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/14	MAPLE LANE CAPITAL	040	GLW	B	100,000	16.86	n/a	n/a	4000.00 0.0
AO,CXL	11/14	MAPLE LANE CAPITAL	040	GLW	B	100,000	16.86	n/a	n/a	5000.00 0.0

TOTAL (AO, CXL, CRT) :	-1,000.00
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TOTAL (Trade Date) :	77,414.00
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS:	76,414.00
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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 15-Nov.

WMT

MRI Securities without Trade Activity on 15-Nov.

JWN, AXP, DDS, ALK, IR

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)