



Daily Compliance Activity Report

Trade Date: 11/27/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AMRI	B	2000	11.91	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	ATI	S	1000	33.15	6-Nov	6-Nov	0.00	0.0
f MARK ANTHONY GRONET	FID	CCMNX	B	9775	10.23	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	DD	S	1000	61.50	n/a	n/a	0.00	0.0
f JAMES RATCLIFFE	FID	EQIX	S	75	162.29	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FWM	B	2500	18.55	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GNC	B	200	59.99	n/a	n/a	0.00	0.0
Õ Jack Chernus		IP	S	15	0.77	n/a	21-Nov	0.00	0.0
f EDWARD W WHEELER	FID	NLY	B	15000	10.16	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PDII	S	12000	5.18	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PINC	B	1000	31.14	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	PWE	S	3096	8.43	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								0.00	

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) :									0.00
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									0.00

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 27-Nov.
NONE

MRI Securities without Trade Activity on 27-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)