



# Daily Compliance Activity Report

Trade Date: 12/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIVERLOFT CAPITAL	044	AAMRQ	B	50,000	9.91	n/a	n/a	1,500.00	3.0
MAPLE ROW	006	ANR	S	4,000	6.79	n/a	n/a	120.00	3.0
KORTRIGHT CAPITAL PARTNERS	025	ANW	B	16,961	10.50	n/a	n/a	508.83	3.0
BROADARCH CAP/OLD NEWC	006	AXL	B	2,000	19.94	n/a	5-Dec	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>6,500</b>	<b>77.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BGC</b>	<b>B</b>	<b>5000</b>	<b>28.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BGC</b>	<b>B</b>	<b>5000</b>	<b>28.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CORTEX CAPITAL	031	CONN	B	14,000	66.40	n/a	n/a	420.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>100,000</b>	<b>0.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SAC CHRIS C	041	CTRX	S	15,000	44.72	n/a	n/a	450.00	3.0
SHEFFIELD ASSET MGMT	031	DG	S	31,509	59.49	n/a	5-Dec	1,260.36	4.0
SUFFOLK CAPITAL MGMT	040	DIS	S	8,100	70.45	n/a	n/a	324.00	4.0
MAPLE ROW	006	DOW	S	5,000	38.43	n/a	n/a	150.00	3.0
BRIGADE CAPITAL MGMT	029	DRYS	S	250,000	3.59	n/a	n/a	7,500.00	3.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	17,100	49.85	5-Dec	5-Dec	684.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>FTK</b>	<b>B</b>	<b>25,000</b>	<b>20.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MOORE CAPITAL	257	F	C	75,000	16.73	n/a	5-Dec	2,250.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>S</b>	<b>20,000</b>	<b>71.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PHILADELPHIA FINANCIAL	033	GES	C	54,536	32.74	n/a	5-Dec	2,181.44	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	42,436	39.10	n/a	5-Dec	1,273.08	3.0
MAPLE ROW	006	GM	SS	10,000	38.95	n/a	5-Dec	300.00	3.0
PCO CAPITAL MGMT.	084	GM	B	25,000	39.19	n/a	5-Dec	750.00	3.0
CASTLE ARK	031	GNC	S	111,670	58.56	n/a	n/a	4,466.80	4.0
CADIAN CAPITAL	041	GPC	C	6,000	80.46	n/a	n/a	180.00	3.0
MAPLE ROW	006	GPOR	S	6,100	59.54	n/a	n/a	183.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>C</b>	<b>6,025</b>	<b>41.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
INTERVAL PARTNERS	033	GPS	C	10,000	40.51	n/a	n/a	300.00	3.0
LOMAS CAPITAL	040	GS	S	20,400	166.94	n/a	15-Nov	612.00	3.0
SUFFOLK CAPITAL MGMT	040	GTLS	S	5,000	99.73	n/a	n/a	200.00	4.0
TIEDEMANN/TIG ADVISORS LLC	006	GTN	B	20,000	11.95	n/a	n/a	1,000.00	5.0
EVERGREEN	047	HSP	B	31,800	41.26	7-Nov	5-Dec	1,272.00	4.0
BLUE MOUNTAIN CAPITAL	087	HYG	S	110,000	92.71	n/a	n/a	5,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	INTC	B	10,000	24.12	n/a	n/a	300.00	3.0
BOURGEON CAPITAL	025	JBLU	B	15,000	8.41	5-Dec	5-Dec	600.00	4.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	S	250,000	8.38	5-Dec	5-Dec	7,500.00	3.0
SIGMA CAPITAL ASSOCIATES	041	JWN	SS	25,000	61.04	15-Nov	2-Dec	750.00	3.0
HOLLIS CAPITAL	033	LCC	B	5,000	21.74	n/a	27-Nov	250.00	5.0
TIDE POINT CAPITAL	028	LEA	S	10,000	81.35	n/a	19-Nov	500.00	5.0
STELLIAM INV ADV	086	LEN	B	17,500	34.24	n/a	n/a	875.00	5.0
MAPLE ROW	006	LYB	B	2,500	75.19	n/a	n/a	75.00	3.0
HOLLIS CAPITAL	033	NCR	B	2,000	32.05	n/a	n/a	100.00	5.0
1798 CAP/LOMBARD ASSET	040	ORIG	S	100,000	20.50	n/a	n/a	5,000.00	5.0
BRIGADE CAPITAL MGMT	029	ORIG	B	114,500	20.50	n/a	n/a	3,435.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>B</b>	<b>72,100</b>	<b>6.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>QTWW</b>	<b>S</b>	<b>250</b>	<b>7.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAPLE ROW	006	REXX	S	5,000	19.05	n/a	n/a	150.00	3.0
KENNEDY CAPITAL	046	SAFM	B	47,455	65.97	n/a	n/a	1,898.20	4.0
PEAK INV/OAKMONT/CYPRESS	084	SLB	S	56,000	87.39	n/a	n/a	2,240.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	SONC	B	4,300	20.87	3-Dec[i]	4-Dec	129.00	3.0
SENATOR INVESTMENT GROUP	287	STWD	S	250,000	27.51	n/a	n/a	7,500.00	3.0
WILLIAMS TRADING/BLUE MTN	087	STWD	B	100,000	27.51	n/a	n/a	3,000.00	3.0
STATE OF WISCONSIN	047	STZ	C	22,000	70.67	n/a	4-Dec	880.00	4.0
ZWEIG FUNDS	006	SUNE	S	50,000	13.63	n/a	n/a	2,500.00	5.0
LOMBARDIA CAP MGMT	084	TER	B	180,667	16.90	n/a	n/a	7,226.68	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>TITN</b>	<b>S</b>	<b>15000</b>	<b>15.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EMPYREAN CAPITAL	084	UAL	SS	100,000	36.89	20-Nov	27-Nov	3,000.00	3.0
ROSEDALE CAPITAL	046	WFC	B	20,000	43.47	n/a	15-Nov	800.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WTSL</b>	<b>S</b>	<b>15000</b>	<b>2.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EMPYREAN CAPITAL	084	XLE	C	55,000	86.09	n/a	n/a	1,650.00	3.0
LEVIN CAPITAL STRATEGIES	041	XLI	SS	33,574	49.55	n/a	n/a	1,007.22	3.0
EMPYREAN CAPITAL	084	XOP	C	50,000	67.40	n/a	n/a	1,500.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>86,331.61</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	12/04	BADGE CAPITAL	030	IP	S	900	46.09	n/a-2013-11-21	31.50 3.5
AO,CXL	12/04	BADGE CAPITAL	030	IP	S	900	46.09	n/a-2013-11-21	45.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-13.50</b>
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TOTAL (Trade Date) :	86,331.61
TOTAL (AO, CXL, CRT) :	-13.50

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>86,318.11</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	12/04	BUCK CAPITAL MGMT.	EXPR	S	100,000	19.02	n/a	n/a	4000.00
CRT	12/04	BUCK CAPITAL MGMT	EXPR	S	100,000	19.02	n/a	n/a	4000.00 4.0
CXL	12/04	BUCK CAPITAL MGMT.	EXPR	S	100,000	19.02	n/a	n/a	4000.00
CRT	12/04	BUCK CAPITAL MGMT	EXPR	S	121,800	19.05	n/a	n/a	4872.00 4.0

MRI Securities with Trade Activity on 5-Dec.

FIVE, JBLU

MRI Securities without Trade Activity on 5-Dec.

NOC, LUV, GIII

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)**