



# Daily Compliance Activity Report

Trade Date: 09/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                    | RR#        | Symbol      | B/S       | Shares       | Price        | MRI        | Research   | Comm. ¢/Shr.   |            |
|----------------------------|------------|-------------|-----------|--------------|--------------|------------|------------|----------------|------------|
| LOMBARDIA CAP MGMT         | 084        | AEL         | S         | 43,503       | 21.14        | n/a        | n/a        | 1,740.12       | 4.0        |
| PRIMECAP MGMT              | 084        | AMGN        | S         | 20,000       | 116.10       | n/a        | n/a        | 800.00         | 4.0        |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>AMRI</b> | <b>B</b>  | <b>5000</b>  | <b>12.21</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>APC</b>  | <b>S</b>  | <b>5,000</b> | <b>94.76</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>3.0</b> |
| APEX CAPITAL MGMT.         | 033        | ATI         | C         | 66,700       | 31.05        | n/a        | 16-Sep     | 2,668.00       | 4.0        |
| TUDOR INVESTORS            | 028        | AWI         | S         | 10,000       | 53.30        | n/a        | n/a        | 3.00           | 0.0        |
| ROSEDALE CAPITAL           | 046        | AXL         | S         | 10,000       | 19.65        | n/a        | 16-Sep     | 400.00         | 4.0        |
| SANDLER O'NEILL ASSET      | 031        | AXP         | B         | 10,000       | 76.41        | n/a        | 16-Sep     | 500.00         | 5.0        |
| LATEEF MGMT                | 033        | BA          | S         | 125          | 115.01       | n/a        | n/a        | 37.50          | 30.0       |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>BBBY</b> | <b>SS</b> | <b>7,000</b> | <b>74.16</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>3.0</b> |
| LATEEF MGMT                | 033        | BBT         | B         | 500          | 34.43        | n/a        | n/a        | 50.00          | 10.0       |
| PRIMECAP MGMT              | 084        | BIIB        | S         | 3,000        | 238.20       | n/a        | n/a        | 120.00         | 4.0        |
| MILLRACE FUND LP           | 028        | CAKE        | SS        | 2,500        | 43.84        | n/a        | n/a        | 100.00         | 4.0        |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>CFN</b>  | <b>S</b>  | <b>30</b>    | <b>0.45</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |

| Account                    | RR#        | Symbol      | B/S      | Shares        | Price         | MRI        | Research     | Comm.¢/Shr.    |            |
|----------------------------|------------|-------------|----------|---------------|---------------|------------|--------------|----------------|------------|
| PRIMECAP MGMT              | 084        | DCI         | S        | 2,500         | 38.60         | n/a        | n/a          | 100.00         | 4.0        |
| PARKWEST                   | 084        | DEPO        | S        | 25,000        | 7.65          | n/a        | n/a          | 750.00         | 3.0        |
| SCOUT/UMB                  | 047        | DG          | S        | 280,302       | 57.16         | 5-Sep      | 5-Sep        | 8,409.06       | 3.0        |
| LISTED ERR                 | 099        | DG          | B        | 74,407        | 57.15         | 5-Sep      | 5-Sep        | 0.00           | 0.0        |
| LISTED ERR                 | 099        | DG          | S        | 74,407        | 56.89         | 5-Sep      | 5-Sep        | 0.00           | 0.0        |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>DIS</b>  | <b>B</b> | <b>20</b>     | <b>0.01</b>   | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| LATEEF MGMT                | 033        | DRE         | B        | 400           | 15.45         | n/a        | n/a          | 40.00          | 10.0       |
| PRIMECAP MGMT              | 084        | DTV         | S        | 5,000         | 62.24         | n/a        | n/a          | 200.00         | 4.0        |
| TUDOR INVESTORS            | 028        | EMR         | B        | 5,000         | 64.96         | n/a        | n/a          | 1.50           | 0.0        |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>ETN</b>  | <b>S</b> | <b>20</b>     | <b>0.61</b>   | <b>n/a</b> | <b>6-Sep</b> | <b>0.00</b>    | <b>0.0</b> |
| KAM ADVISORS LLC           | 041        | ETN         | B        | 33,000        | 68.73         | n/a        | 6-Sep        | 990.00         | 3.0        |
| KAM ADVISORS LLC           | 041        | EXP         | S        | 60,500        | 70.75         | n/a        | n/a          | 1,815.00       | 3.0        |
| <b>f RAVI SADARANGANI</b>  | <b>FID</b> | <b>FB</b>   | <b>S</b> | <b>1357</b>   | <b>44.36</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| PROSPECTOR PARTNERS LLC    | 036        | FOR         | B        | 10,000        | 21.49         | n/a        | n/a          | 400.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>FOSL</b> | <b>S</b> | <b>10,000</b> | <b>117.33</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| LEVIN CAPITAL STRATEGIES   | 041        | GM          | B        | 10,000        | 36.42         | n/a        | 11-Sep       | 300.00         | 3.0        |
| OZ MGMT                    | 040        | GM          | S        | 75,000        | 36.28         | n/a        | 11-Sep       | 2,250.00       | 3.0        |

| Account                      | RR#        | Symbol     | B/S       | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.    |            |
|------------------------------|------------|------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| TUDOR INVESTORS              | 028        | GM         | B         | 10,000        | 36.23        | n/a        | 11-Sep     | 3.00           | 0.0        |
| HOTCHKIS & WILEY             | 084        | GXP        | B         | 95,000        | 21.78        | n/a        | n/a        | 3,800.00       | 4.0        |
| <b>f MARC PAUL LUCHANSKY</b> | <b>FID</b> | <b>HA</b>  | <b>B</b>  | <b>500</b>    | <b>7.66</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f YANAI A FRANK</b>       | <b>FID</b> | <b>HLF</b> | <b>B</b>  | <b>460</b>    | <b>71.49</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| OSKIE CAPITAL MGMT           | 224        | HRB        | B         | 40,000        | 27.53        | n/a        | n/a        | 2,000.00       | 5.0        |
| TUDOR INVESTORS              | 028        | IR         | S         | 10,000        | 64.28        | n/a        | n/a        | 3.00           | 0.0        |
| KAM ADVISORS LLC             | 041        | ITT        | B         | 121,500       | 35.45        | n/a        | n/a        | 3,645.00       | 3.0        |
| INTERVAL PARTNERS            | 033        | JCP        | C         | 10,000        | 13.70        | 21-Aug     | 16-Sep     | 300.00         | 3.0        |
| LATEEF MGMT                  | 033        | JPM        | S         | 250           | 53.22        | n/a        | 16-Sep     | 32.50          | 13.0       |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>KSS</b> | <b>SS</b> | <b>40,000</b> | <b>51.51</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>LEN</b> | <b>S</b>  | <b>12,000</b> | <b>35.78</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| TUDOR INVESTORS              | 028        | LOW        | SS        | 5,000         | 46.83        | n/a        | n/a        | 1.50           | 0.0        |
| COBALT                       | 041        | LPX        | B         | 100,000       | 17.80        | n/a        | 13-Sep     | 4,000.00       | 4.0        |
| TUDOR INVESTORS              | 028        | LPX        | SS        | 5,000         | 17.57        | n/a        | 13-Sep     | 1.50           | 0.0        |
| ROVER CAPITAL PARTNERS       | 040        | LULU       | SS        | 2,000         | 70.30        | n/a        | 13-Sep     | 100.00         | 5.0        |
| TUDOR INVESTORS              | 028        | MAS        | S         | 15,000        | 21.50        | n/a        | n/a        | 4.50           | 0.0        |

|   | Account                         | RR# | Symbol | B/S | Shares | Price  | MRI    | Research | Comm.¢/Shr. |        |     |
|---|---------------------------------|-----|--------|-----|--------|--------|--------|----------|-------------|--------|-----|
|   | TIEDEMANN/TIG ADVISORS LLC      | 006 | MIC    | B   | 2,210  | 53.81  | n/a    | n/a      | 110.50      | 5.0    |     |
|   | M&I FUNDS                       | 047 | MLI    | S   | 42,985 | 55.86  | n/a    | n/a      | 1,719.40    | 4.0    |     |
|   | MIDS                            | 047 | MLI    | S   | 15     | 55.86  | n/a    | n/a      | 0.60        | 4.0    |     |
|   | LATEEF MGMT                     | 033 | OLN    | B   | 400    | 23.07  | n/a    | n/a      | 40.00       | 10.0   |     |
| B | BUCK CAPITAL MGMT               |     | PETM   | SS  | 10,000 | 72.85  | n/a    | n/a      | non-brg     | 4.0    |     |
| B | BUCK CAPITAL MGMT               |     | PETM   | SS  | 27,000 | 72.72  | n/a    | n/a      | non-brg     | 4.0    |     |
|   | TRUST CO/COWEN/CALF.            | 040 | PKG    | S   | 41,100 | 58.35  | n/a    | 16-Sep   | 2,055.00    | 5.0    |     |
|   | SANDLER O'NEILL ASSET           | 031 | PNC    | B   | 10,000 | 74.26  | n/a    | n/a      | 500.00      | 5.0    |     |
|   | LATEEF MGMT                     | 033 | RDSB   | B   | 300    | 68.89  | n/a    | n/a      | 42.00       | 14.0   |     |
|   | KORT                            | 025 | SEE    | B   | 20,000 | 30.50  | n/a    | n/a      | 600.00      | 3.0    |     |
|   | PRIMECAP MGMT                   | 084 | SNE    | B   | 58,183 | 21.38  | n/a    | n/a      | 2,327.32    | 4.0    |     |
| f | MICHAEL ALEXANDER SM            | FID | SSI    | S   | 10     | 0.05   | 23-Aug | 13-Sep   | 0.00        | 0.0    |     |
| f | MICHAEL ALEXANDER SM            | FID | SSI    | S   | 20     | 0.05   | 23-Aug | 13-Sep   | 0.00        | 0.0    |     |
| f | MICHAEL ALEXANDER SM            | FID | SSI    | S   | 50     | 0.05   | 23-Aug | 13-Sep   | 0.00        | 0.0    |     |
|   | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | SUSS   |     | S      | 13,885 | 52.16  | n/a      | n/a         | 416.55 | 3.0 |
|   | TUDOR INVESTORS                 | 028 | TKR    | B   | 5,000  | 63.04  | n/a    | n/a      | 1.50        | 0.0    |     |
|   | PROSPECTOR PARTNERS LLC         | 036 | TLM    | B   | 10,000 | 11.08  | n/a    | n/a      | 400.00      | 4.0    |     |

| Account                        | RR#        | Symbol      | B/S      | Shares      | Price        | MRI        | Research      | Comm. ¢/Shr.     |            |
|--------------------------------|------------|-------------|----------|-------------|--------------|------------|---------------|------------------|------------|
| KAM ADVISORS LLC               | 041        | WBC         | S        | 36,000      | 85.71        | n/a        | n/a           | 1,080.00         | 3.0        |
| SIGMA CAPITAL ASSOCIATES       | 041        | WEN         | B        | 25,000      | 8.73         | n/a        | n/a           | 750.00           | 3.0        |
| PRIMECAP MGMT                  | 084        | WFC         | B        | 10,000      | 42.90        | n/a        | 10-Sep        | 400.00           | 4.0        |
| HERRING CREEK CAPITAL MGMT LLC | 040        | WGO         | B        | 15,000      | 21.55        | n/a        | n/a           | 450.00           | 3.0        |
| PRIMECAP MGMT                  | 084        | WHR         | S        | 5,500       | 139.98       | n/a        | n/a           | 220.00           | 4.0        |
| <b>f JONATHAN RICHARD HAR</b>  | <b>FID</b> | <b>WNC</b>  | <b>S</b> | <b>1000</b> | <b>11.52</b> | <b>n/a</b> | <b>13-Sep</b> | <b>0.00</b>      | <b>0.0</b> |
| TUDOR INVESTORS                | 028        | WNC         | SS       | 10,000      | 11.51        | n/a        | 13-Sep        | 3.00             | 0.0        |
| <b>f JONATHAN RICHARD HAR</b>  | <b>FID</b> | <b>WTSL</b> | <b>B</b> | <b>1350</b> | <b>3.72</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>      | <b>0.0</b> |
| <b>TOTAL (Trade Date):</b>     |            |             |          |             |              |            |               | <b>46,681.05</b> |            |

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

| Type   | Date  | Account         | RR # | Symbol | B/S | Shares  | Price | MRI | Research   | Comm.¢/Shr.  |
|--------|-------|-----------------|------|--------|-----|---------|-------|-----|------------|--------------|
| AO,CRT | 09/13 | SLS CAPITAL LLC | 006  | F      | SS  | 205,479 | 17.41 | n/a | 2013-09-05 | 8219.16 4.0  |
| AO,CXL | 09/13 | SLS CAPITAL LLC | 006  | F      | SS  | 205,479 | 17.41 | n/a | 2013-09-05 | 10273.95 0.0 |
| AO,    | 09/13 | MIDS            | 047  | MLI    | S   | 2       | 55.40 | n/a | n/a        | 0.08 0.0     |
| AO,CXL | 09/13 | M&I FUNDS       | 047  | MLI    | S   | 6,105   | 55.40 | n/a | n/a        | 244.20 0.0   |
| AO,    | 09/13 | M&I FUNDS       | 047  | MLI    | S   | 6,103   | 55.40 | n/a | n/a        | 244.12 0.0   |

**TOTAL (AO, CXL, CRT) :****-2,054.79**

TOTAL (Trade Date) :

46,681.05

TOTAL (AO, CXL, CRT) :

-2,054.79

**TOTAL (RUN DATE) / NFS:****44,626.26**

### BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 16-Sep.  
NONE

MRI Securities without Trade Activity on 16-Sep.  
STZ, ENDP

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)**