



# Daily Compliance Activity Report

Trade Date: 12/18/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	7,500	26.07	n/a	9-Dec	300.00	4.0
PAR CAPITAL	029	AAL	C	100,000	26.01	n/a	9-Dec	4,000.00	4.0
BADGE CAPITAL	030	ACRE	B	1,000	12.87	n/a	n/a	35.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	AGO	B	3,600	22.73	n/a	n/a	108.00	3.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	21,100	39.77	n/a	n/a	633.00	3.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ALB</b>	<b>B</b>	<b>1000</b>	<b>64.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ALB</b>	<b>B</b>	<b>1000</b>	<b>64.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AMC</b>	<b>B</b>	<b>5,000</b>	<b>18.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AMC</b>	<b>S</b>	<b>5,000</b>	<b>19.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AMZN</b>	<b>B</b>	<b>5,000</b>	<b>393.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRED ALGER MGMT	300	AVGO	B	68,970	52.79	n/a	n/a	2,482.92	4.0
<b>f</b> RAVI SADARANGANI	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>1000</b>	<b>20.14</b>	<b>n/a</b>	<b>17-Dec</b>	<b>0.00</b>	<b>0.0</b>
CHART WELL ADV	028	AYI	S	700	104.42	n/a	n/a	28.00	4.0
GATOR CAPITAL MGMT LLC	093	BBRG	B	2,300	15.72	n/a	n/a	92.00	4.0
S.A.C. CAPITAL	044	BBY	B	25,000	41.51	n/a	n/a	750.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>BLMN</b>	<b>B</b>	<b>20,000</b>	<b>23.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	BLMN	B	3,400	23.80	n/a	n/a	136.00	4.0
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>BODY</b>	<b>B</b>	<b>230</b>	<b>3.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>CAM</b>	<b>S</b>	<b>15</b>	<b>57.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WADDELL AND REED	047	CLR	S	29,250	107.07	n/a	n/a	1,170.00	4.0
EPOCH INV MGMT	030	CME	B	77,456	83.02	n/a	n/a	2,323.68	3.0
WADDELL AND REED	047	CME	B	29,650	82.63	n/a	n/a	1,186.00	4.0
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>CWTR</b>	<b>B</b>	<b>2000</b>	<b>0.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLE ARK	031	C	S	146,440	50.50	n/a	17-Dec	5,857.60	4.0
FARBER	006	DAL	S	7,000	27.12	3-Dec	12-Dec	280.00	4.0
CHART WELL ADV	028	DFRG	S	3,000	21.60	n/a	n/a	120.00	4.0
WALL STREET CAPITAL	084	DFRG	B	16,657	22.21	n/a	n/a	749.57	5.0
HIGHBRIDGE CAP	041	DG	B	25,000	59.89	6-Dec	6-Dec	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>S</b>	<b>25,000</b>	<b>19.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>S</b>	<b>25,000</b>	<b>19.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHART WELL ADV	028	DIOD	B	6,000	22.27	n/a	n/a	240.00	4.0
SANDLER CAPITAL	028	FB	S	115,000	54.03	n/a	n/a	4,600.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FCNTX</b>	<b>B</b>	<b>53</b>	<b>94.29</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.	
EPOCH INV MGMT	030	FFBC	B	81,084	16.82	n/a	n/a	2,432.52	3.0
METROPOLITAN CAPITAL	044	FINL	B	5,800	25.48	n/a	18-Dec	290.00	5.0
FOUNDRY PARTNERS LLC	030	FOXA	S	22,400	33.01	n/a	n/a	896.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>C</b>	<b>30,000</b>	<b>15.89</b>	<b>n/a</b>	<b>18-Dec</b>	<b>non-brg</b>	<b>3.0</b>
CAERUS GLOBAL	041	F	B	25,000	15.80	n/a	18-Dec	1,000.00	4.0
OZ MGMT	040	F	C	300,000	15.55	n/a	18-Dec	9,000.00	3.0
OZ MGMT	040	F	SS	200,000	15.53	n/a	18-Dec	6,000.00	3.0
ROSEDALE CAPITAL	046	F	B	10,000	15.72	n/a	18-Dec	400.00	4.0
SCOPUS FUND	041	F	SS	75,000	15.78	n/a	18-Dec	3,000.00	4.0
TUDOR INVESTORS	028	F	B	10,000	15.96	n/a	18-Dec	300.00	3.0
WEXFORD CAPITAL	284	F	SS	26,000	15.53	n/a	18-Dec	780.00	3.0
S.A.C. CAPITAL	044	GES	SS	10,000	30.48	n/a	5-Dec	300.00	3.0
VERITION	028	GE	SS	5,000	27.07	n/a	n/a	150.00	3.0
ROSEDALE CAPITAL	046	GG	B	20,000	21.12	n/a	n/a	800.00	4.0
FRED ALGER MGMT	300	GILD	B	11,330	71.06	n/a	n/a	407.88	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIS</b>	<b>C</b>	<b>60,700</b>	<b>49.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	GM	B	10,000	40.00	n/a	17-Dec	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	C	15,000	40.30	n/a	17-Dec	450.00	3.0
OZ MGMT	040	GM	B	125,000	40.41	n/a	17-Dec	3,750.00	3.0
SCOPUS FUND	041	GM	B	50,000	40.22	n/a	17-Dec	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	GM	B	10,000	40.90	n/a	17-Dec	300.00	3.0
WEXFORD CAPITAL	284	GM	B	11,500	40.08	n/a	17-Dec	345.00	3.0
VERITION	028	GNTX	B	7,500	32.83	n/a	17-Dec	225.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>GSVC</b>	<b>S</b>	<b>100</b>	<b>11.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f TIFFANY KANAGA</b>	<b>FID</b>	<b>HLF</b>	<b>B</b>	<b>150</b>	<b>77.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORWARD MGMT	033	HMSY	B	7,667	21.24	n/a	n/a	306.68	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ</b>	<b>S</b>	<b>20,000</b>	<b>25.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AMICI CAPITAL N/C	044	IBN	B	70,000	37.09	n/a	n/a	2,800.00	4.0
S.A.C. CAPITAL	044	IGT	SS	25,000	16.87	n/a	n/a	750.00	3.0
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>ISLE</b>	<b>B</b>	<b>190</b>	<b>8.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>190,000</b>	<b>112.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>348,010</b>	<b>112.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>SS</b>	<b>520,000</b>	<b>131.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
FARBER	006	JBLU	S	15,000	8.51	5-Dec	11-Dec	450.00	3.0
DC CAPITAL	044	JCP	S	100,000	8.20	n/a	4-Dec	4,000.00	4.0
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>JNS</b>	<b>B</b>	<b>2000</b>	<b>11.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	KBH	B	100,000	17.66	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>KORS</b>	<b>S</b>	<b>10,000</b>	<b>84.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
S.A.C. CAPITAL	044	KORS	B	25,000	83.58	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	KR	SS	38,000	39.99	n/a	n/a	1,140.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>K</b>	<b>C</b>	<b>20,900</b>	<b>60.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>K</b>	<b>C</b>	<b>50,000</b>	<b>60.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ACK ASSET	028	LAD	SS	21,300	67.59	n/a	n/a	639.00	3.0
BASSWOOD PARTNERS	267	LEA	S	3,265	79.99	n/a	17-Dec	130.60	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>LEN</b>	<b>S</b>	<b>14,000</b>	<b>36.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>LEN</b>	<b>S</b>	<b>28,030</b>	<b>36.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARDSLEY PARTNERS	280	LNN	C	5,000	82.70	n/a	n/a	250.00	5.0
<b>f</b> ROHINI T SADARANGANI	<b>FID</b>	<b>LPX</b>	<b>B</b>	<b>500</b>	<b>18.00</b>	<b>n/a</b>	<b>18-Dec</b>	<b>0.00</b>	<b>0.0</b>
BMO / M&I FUNDS	047	MAT	S	15,956	44.67	n/a	n/a	638.24	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>MDY</b>	<b>C</b>	<b>123,038</b>	<b>238.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
CHART WELL ADV	028	MNRO	B	1,200	52.30	n/a	n/a	48.00	4.0
FRED ALGER MGMT	300	MSFT	S	688,690	36.12	n/a	n/a	24,792.84	4.0
CHART WELL ADV	028	MWIV	S	500	166.18	n/a	n/a	20.00	4.0
AMICI CAPITAL N/C	044	NOV	B	50,000	77.47	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUST WOOD CAPITAL MGMT	044	NSM	B	26,440	41.95	n/a	n/a	1,057.60	4.0
CHART WELL ADV	028	OXM	S	400	76.13	n/a	n/a	16.00	4.0
CAPITAL WORLD	084	PG	B	353,133	81.00	n/a	4-Dec	12,359.66	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>S</b>	<b>10,000</b>	<b>139.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>S</b>	<b>10,000</b>	<b>20.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>S</b>	<b>40,000</b>	<b>20.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHART WELL ADV	028	PIR	S	1,750	20.52	n/a	n/a	70.00	4.0
ARDSLEY PARTNERS	280	PNW	SS	10,000	52.92	n/a	n/a	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RF	B	9,200	9.56	n/a	n/a	276.00	3.0
ARDSLEY PARTNERS	280	RH	C	7,500	65.03	n/a	n/a	375.00	5.0
SHEFFIELD ASSET MGMT	031	RKT	S	56,000	102.17	n/a	16-Dec	2,240.00	4.0
FORWARD MGMT	033	SAFM	S	6,000	70.55	n/a	n/a	240.00	4.0
FOUNDRY PARTNERS LLC	030	SBUX	S	775	76.46	n/a	13-Dec	31.00	4.0
CHART WELL ADV	028	SPSC	B	2,100	64.18	n/a	n/a	84.00	4.0
OZ MGMT	040	ST	SS	50,000	37.29	n/a	n/a	1,500.00	3.0
ARDSLEY PARTNERS	280	SUNE	B	25,000	11.80	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f TIFFANY KANAGA</b>	<b>FID</b>	<b>SWY</b>	<b>B</b>	<b>450</b>	<b>32.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	TIF	S	10,000	89.53	n/a	n/a	300.00	3.0
CHART WELL ADV	028	TRNX	S	3,600	17.66	n/a	n/a	144.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	TRV	SS	900	87.65	n/a	n/a	27.00	3.0
LEVIN CAPITAL STRATEGIES	041	T	C	21,783	33.86	n/a	n/a	653.49	3.0
FARBER	006	UAL	S	5,200	37.30	20-Nov	9-Dec	208.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>B</b>	<b>10,000</b>	<b>93.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>B</b>	<b>6,000</b>	<b>93.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	USB	SS	2,200	39.78	n/a	n/a	66.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>VNTV</b>	<b>S</b>	<b>100</b>	<b>29.69</b>	<b>n/a</b>	<b>3-Dec</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	VZ	C	23,423	47.52	n/a	n/a	702.69	3.0
KAYNE ANDERSON ADV	084	WDFC	S	24,958	73.57	n/a	n/a	998.32	4.0
FRONTFOUR CAPITAL	046	WNC	B	25,000	12.14	n/a	25-Nov	750.00	3.0
CR INTRINIC INVESTMENT	044	WWW	SS	10,000	32.63	n/a	n/a	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	S	10,000	30.92	n/a	18-Dec	300.00	3.0
WOOSTER CAPITAL	044	WY	S	50,000	30.44	n/a	18-Dec	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	XOM	C	12,500	97.42	n/a	n/a	375.00	3.0
<b>f RACHEL A.K. FEINSTEI</b>	<b>FID</b>		<b>S</b>	<b>4000</b>	<b>0.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>							<b>128,207.29</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/17	HARVEST MGMT	029	GME	B	10,000	49.08	n/a	n/a	400.00 0.0
AO,CXL	12/17	HARVEST MGMT	029	GME	B	10,000	49.08	n/a	n/a	500.00 0.0
AO,	12/17	TUDOR INVESTORS	028	MWV	S	10,000	36.00	n/a	n/a	300.00 0.0
AO,CXL	12/17	TUDOR INVESTORS	028	MWV	S	10,000	36.00	n/a	n/a	300.00 0.0
AO,CRT	12/17	WINSLOW CAPITAL	030	PCLN	S	3001,157.20		n/a	n/a	9.00 0.0
AO,CXL	12/17	WINSLOW CAPITAL	030	PCLN	S	3001,157.20		n/a	n/a	9.00 0.0
AO,CRT	12/17	DONALD SMITH	088	RCL	S	26,629	44.23	n/a	n/a	798.87 0.0
AO,CXL	12/17	DONALD SMITH	088	RCL	S	26,629	44.23	n/a	n/a	399.44 0.0
AO,CRT	11/20	DSM CAPITAL PARTNERS	085	VSI	S	1,630	54.73	n/a	n/a	81.50 0.0
AO,CXL	11/20	DSM CAPITAL PARTNERS	085	VSI	S	1,630	54.73	n/a	n/a	81.50 0.0

**TOTAL (AO, CXL, CRT) :****299.43**

TOTAL (Trade Date):

128,207.29

TOTAL (AO, CXL, CRT):

299.43

**TOTAL (RUN DATE) / NFS:****128,506.72**

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 18-Dec.  
NONE

MRI Securities without Trade Activity on 18-Dec.  
CHTR, TWC, LBTYA, CMCSA, LMCA

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)**