



Daily Compliance Activity Report

Trade Date: 10/30/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	ABG	SS	19,000	46.85	23-Oct	23-Oct	570.00	3.0
f MANNY I KORMAN	FID	APA	S	2000	88.46	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	AZPN		S	69,465	37.98		n/a	n/a	2,083.95 3.0
Õ Nicolas Pakler		BAC	S	1000	14.24	n/a	25-Oct	0.00	0.0
OSKIE CAPITAL MGMT	224	BAC	S	100,000	14.17	n/a	25-Oct	5,000.00	5.0
ß BUCK CAPITAL MGMT		BBBY	C	120,000	77.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBBY	C	20,000	76.86	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	BC	B	25,000	45.20	n/a	n/a	750.00	3.0
f JONATHAN RICHARD HAR	FID	CBK	B	3000	5.90	n/a	n/a	0.00	0.0
JSRG CAPITAL PARTNERS LP	084	CHRW	SS	15,000	60.23	n/a	11-Oct	450.00	3.0
ß BUCK CAPITAL MGMT		CLX	C	60,900	90.22	n/a	n/a	non-brg	4.0
CORTEX CAPITAL	031	CLX	SS	20,000	90.21	n/a	n/a	600.00	3.0
ß BUCK CAPITAL MGMT		CRTO	B	1,000	31.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		CRTO	S	1,000	37.28	n/a	n/a	non-brg	2.5
ARCHON CAPITAL	033	DDD	B	40,000	61.19	n/a	n/a	1,200.00	3.0
ß BUCK CAPITAL MGMT		DECK	B	30,000	67.31	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f RAVI SADARANGANI	FID	FB	B	45	2.15	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FINL	S	29,820	25.65	30-Sep	30-Oct	1,192.80	4.0
B BUCK CAPITAL MGMT		FRAN	S	100,000	17.80	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		FRAN	S	25,000	17.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	S	25,000	17.91	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		FRAN	S	25,000	17.94	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	S	25,000	17.96	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	17.46	n/a	25-Oct	750.00	3.0
OZ MGMT	040	F	SS	1,122,631	17.40	n/a	25-Oct	33,678.93	3.0
SCOPUS FUND	041	F	SS	50,000	17.35	n/a	25-Oct	2,000.00	4.0
B BUCK CAPITAL MGMT		GME	B	50,000	55.30	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	GM	S	25,000	37.11	n/a	30-Oct	1,000.00	4.0
FIRST NY SEC/CHRIS	041	GM	B	15,000	37.08	n/a	30-Oct	750.00	5.0
RIDGECREST INV MGMT LLC	028	GM	S	7,500	37.36	n/a	30-Oct	300.00	4.0
ROSEDALE CAPITAL	046	GM	S	10,000	37.25	n/a	30-Oct	400.00	4.0
SCOPUS FUND	041	GM	B	50,000	37.23	n/a	30-Oct	2,000.00	4.0
CR INTRINIC INVESTMENT	044	GT	S	25,000	21.04	n/a	n/a	750.00	3.0
LIONEYE CAPITAL	040	HES	B	20,000	80.79	n/a	n/a	1,000.00	5.0
CADIAN CAPITAL	041	HOG	S	30,000	64.36	n/a	n/a	900.00	3.0
ALLIANZ/NICOLAS APPLEGATE		084 INTC	B	50,000	24.50		n/a n/a	1,750.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MSF CAPITAL (ENTRUST)	040	IRBT	SS	14,854	34.46	n/a	n/a	742.70	5.0
TUDOR INVESTORS	028	IYR	B	5,000	66.94	n/a	n/a	150.00	3.0
BTG PACTUAL	040	JBLU	B	25,000	7.20	n/a	30-Oct	750.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040 JBLU	B		164,050	7.20	n/a	30-Oct	6,562.00 4.0
BADGE CAPITAL	030	KSS	B	800	57.08	n/a	30-Sep	28.00	4.0
ACK ASSET	028	LAD	SS	15,000	62.35	n/a	n/a	450.00	3.0
OSKIE CAPITAL MGMT	224	LEA	S	10,900	77.60	28-Oct	28-Oct	545.00	5.0
f AMY O ROGERS	FID	LGND	B	200	51.89	n/a	n/a	0.00	0.0
f DOUGLAS R ROGERS	FID	LGND	B	500	50.90	n/a	n/a	0.00	0.0
KEYGROUP/KGLT	040	LNG	B	25,000	40.22	n/a	n/a	1,000.00	4.0
ARCHON CAPITAL	033	LNKD	B	20,600	231.69	n/a	n/a	618.00	3.0
CR INTRINIC INVESTMENT	044	LPX	B	50,000	17.28	n/a	30-Oct	1,500.00	3.0
CASTLEROCK	040	LULU	SS	5,015	71.00	n/a	30-Oct	200.60	4.0
MERRILL ASSET/BLACKROCK	085	MSCI	S	19,000	41.10	n/a	n/a	760.00	4.0
B BUCK CAPITAL MGMT		M	B	70,000	46.53	30-Sep	30-Sep	non-brg	4.0
f MANNY I KORMAN	FID	NAV	S	3000	35.65	n/a	11-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	NCR	S	4000	36.86	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	287	OC	B	20,000	37.29	n/a	n/a	600.00	3.0
BRONSON POINT	036	OXY	B	10,000	95.53	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	OXY	B	222,590	96.47	n/a	n/a	6,677.70	3.0
f MANNY I KORMAN	FID	PFE	S	5000	30.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	B	50,000	21.19	n/a	n/a	non-brg	4.0
CORNERSTONE	030	PVH	B	51,854	125.71	n/a	17-Oct	1,555.62	3.0
ASCEND PARTNERS	033	PWR	S	35,611	29.62	n/a	n/a	1,068.33	3.0
f MANNY I KORMAN	FID	QCOM	S	2000	69.17	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	REGN	S	18,101	294.27	n/a	n/a	651.64	4.0
B BUCK CAPITAL MGMT		RL	S	17,500	166.47	n/a	17-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	17,500	166.47	n/a	17-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	30,000	166.87	n/a	17-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	30,000	166.87	n/a	17-Oct	non-brg	4.0
CASTLEROCK	040	SBUX	B	369	80.85	30-Sep	30-Oct	14.76	4.0
B BUCK CAPITAL MGMT		SCAI	B	500	24.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		SCAI	S	500	28.00	n/a	n/a	non-brg	2.5
ROTHSCHILD ASSET	040	SNDK	B	12,885	69.48	n/a	n/a	515.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYMPHONY ASSET	033	SPY	SS	25,000	176.17	n/a	n/a	750.00	3.0
T. ROWE PRICE	243	SSD	B	8,230	35.58	n/a	n/a	329.20	4.0
B BUCK CAPITAL MGMT		SSI	S	30,000	20.61	30-Sep	30-Sep	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	SWN	S	1000	37.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SYX	C	50,000	32.61	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	TEN	S	2000	53.14	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	TFX	B	25,053	91.03	n/a	n/a	751.59	3.0
f MANNY I KORMAN	FID	TRW	S	1000	75.48	n/a	n/a	0.00	0.0
GLG PARTNERS	280	UAL	B	28,427	33.38	25-Oct	25-Oct	1,421.35	5.0
TUDOR INVESTORS	028	VAL	S	3,397	69.86	n/a	n/a	101.91	3.0
TYVOR CAPITAL LLC	031	WFM	SS	14,502	64.03	n/a	n/a	435.06	3.0
HAWKEYE CAPITAL	087	WNC	B	20,000	11.45	n/a	30-Oct	600.00	3.0
JSRG CAPITAL PARTNERS LP	084	WNC	SS	20,000	11.45	n/a	30-Oct	1,000.00	5.0
TUDOR INVESTORS	028	WNC	B	5,000	11.95	n/a	30-Oct	150.00	3.0
f FRANCIS MICHAEL MCCA	FID	WTSL	B	1000	3.41	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	WTSL	B	1200	3.41	n/a	n/a	0.00	0.0
CHARTER OAK	033	XOP	B	10,000	72.35	n/a	n/a	200.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	XOP	B	25,000	70.68	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	X	S	47,932	24.65	n/a	n/a	1,437.96	3.0
MOORE CAPITAL	257	X	B	40,000	24.63	n/a	n/a	1,200.00	3.0
MERRILL ASSET/BLACKROCK	085	ZION	S	3,600	28.46	n/a	n/a	144.00	4.0
TOTAL (Trade Date) :								91,336.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/28	OZ MGMT	040	BA	B	3,628	129.64-2013-10-28-2013-10-28	108.84	0.0
AO,CXL	10/28	OZ MGMT	040	BA	B	3,628	129.64-2013-10-28-2013-10-28	108.84	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	91,336.50
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	91,336.50
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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 30-Oct.
NONE

MRI Securities without Trade Activity on 30-Oct.
PAG, JCI, DAN, MWV, ACT, AGN

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)