



Daily Compliance Activity Report

Trade Date: 09/12/2013

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAISSE DEPOT PLACEMENT Q	257	ACN	B	10,000	74.68	n/a	n/a	300.00	3.0
PENNANT CAP MGMT	029	AMGN	S	15,000	113.44	n/a	n/a	300.00	2.0
f DAVID GEORGE BUCK	FID	AMRI	B	5000	11.78	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	ANN	B	10,000	35.92	n/a	n/a	400.00	4.0
ADAGE CAPITAL MGMT	030	AOL	B	60,000	34.48	n/a	n/a	3,600.00	6.0
BRONSON POINT	036	AOL	B	108,000	34.43	n/a	n/a	3,240.00	3.0
f EDWARD W WHEELER	FID	ATI	S	10000	28.55	n/a	10-Sep	0.00	0.0
f AMY O ROGERS	FID	BACPRD	S	476	23.79	n/a	n/a	0.00	0.0
f DOUGLAS R ROGERS	FID	BACPRD	S	3432	23.79	n/a	n/a	0.00	0.0
OTTER CREEK MGMT	093	BKW	B	14,000	20.35	n/a	n/a	560.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	4,500	50.43	n/a	n/a	135.00	3.0
f MARC PAUL LUCHANSKY	FID	BXMMX	B	50	10.00	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CATO	B	15,902	26.70	n/a	n/a	636.08	4.0
PIMCO	084	CAT	SS	15,000	86.99	n/a	n/a	300.00	2.0
FRED ALGER MGMT	070	CCK	S	10,000	43.90	n/a	n/a	360.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	CFN	B	30	0.09	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CLH	B	2500	57.77	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	SS	20,000	54.04	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	CRM	S	51,500	49.95	n/a	n/a	1,545.00	3.0
PROVIDENCE EQUITY CAP. MKTS.	040	DELL	B	220,000	13.86	n/a	n/a	4,400.00	2.0
f DAVID GEORGE BUCK	FID	DIS	B	40	0.39	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DIS	S	4000	63.91	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ECL	S	10,400	95.24	n/a	n/a	312.00	3.0
f JASON ERIC COHEN	FID	ESSX	B	1000	3.55	n/a	n/a	0.00	0.0
f CHARLES MAXWELL KAIC	FID	FBNIQ	B	1080	0.33	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	FBNIQ	B	1075	0.33	n/a	n/a	0.00	0.0
f GERALD EPHRAM COHEN	FID	FBNIQ	B	3333	0.33	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	FBNIQ	B	3333	0.32	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	148	10.14	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FNSXX	B	1057144	1.00	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FNSXX	B	1300	1.00	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	FOX	S	2,800	32.44	n/a	n/a	112.00	4.0
f KELLY ELIZABETH CLIF	FID	FSAMX	S	53	9.50	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	MARC PAUL LUCHANSKY	FID	FSAMX	S	63	9.50	n/a	n/a	0.00	0.0	
f	KELLY ELIZABETH CLIF	FID	FSGFX	S	27	14.81	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	FSGFX	S	61	14.81	n/a	n/a	0.00	0.0	
f	KELLY ELIZABETH CLIF	FID	FSHBX	S	47	8.54	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	FSHBX	S	59	8.54	n/a	n/a	0.00	0.0	
	SCOPUS FUND	041	F	SS	100,000	17.39	n/a	5-Sep	4,000.00	4.0	
	VERITION	028	F	SS	15,000	17.42	n/a	5-Sep	450.00	3.0	
	SYSTEMATIC FINANCIAL MGT	070	GES	S	50,000	29.70	29-Aug	29-Aug	1,500.00	3.0	
	FIRST NY SEC/CHRIS	041	GM	B	10,000	36.17	n/a	11-Sep	500.00	5.0	
B	BUCK CAPITAL MGMT		GPS	B	20,000	41.43	n/a	n/a	non-brg	4.0	
	SUFFOLK CAPITAL MGMT	040	HIG	B	439,300	31.76	n/a	n/a	17,572.00	4.0	
	ARDSLEY PARTNERS	280	JCI	S	5,000	42.35	n/a	12-Sep	250.00	5.0	
	WAGONHOUND/NICOLAS	033	JCI	B	4,102	42.55	n/a	12-Sep	164.08	4.0	
	BRIGADE CAPITAL MGMT	029	JDSU	B	25,000	15.15	n/a	n/a	750.00	3.0	
	TRUST CO/COWEN/CALF.	040	JNJ	S	10,955	89.11	n/a	n/a	547.75	5.0	
	TYVOR CAPITAL LLC	031	JWN	B	8,660	56.93	16-Aug	n/a	259.80	3.0	
	BALYASNY ASSET MGMT	044	KSS	B	40,000	51.61	n/a	16-Aug	2,000.00	5.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	LVNTA	B	10,000	87.25		n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LVS	S	20,000	62.44	n/a	n/a	non-brg	4.0
M&I FUNDS	047	MLI	S	3,522	55.56	n/a	n/a	140.88	4.0
CR INTRINIC INVESTMENT	044	MNST	S	17,182	55.14	n/a	n/a	515.46	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	8,303	38.18	n/a	n/a	415.15	5.0
WINSLOW CAPITAL	030	NBL	S	15,200	66.67	n/a	n/a	456.00	3.0
KEYGROUP/KGLT	040	NFX	B	25,000	25.85	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	084	NKTR	B	5,000	13.99	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	NOW	S	9,900	49.60	n/a	n/a	297.00	3.0
PRIMECAP MGMT	084	NVS	S	5,300	76.73	n/a	n/a	212.00	4.0
PRIMECAP MGMT	084	OII	S	500	81.59	n/a	n/a	20.00	4.0
PENNANT CAP MGMT	029	OXY	S	30,000	90.91	n/a	n/a	600.00	2.0
WINSLOW CAPITAL	030	PCP	S	7,000	229.41	n/a	10-Sep	210.00	3.0
ROSEDALE CAPITAL	046	PFE	B	22,500	28.41	n/a	n/a	900.00	4.0
SUFFOLK CAPITAL MGMT	040	PFE	S	2,900	28.58	n/a	n/a	116.00	4.0
PRIMECAP MGMT	084	PKI	S	1,800	37.76	n/a	n/a	72.00	4.0
CADIAN CAPITAL	041	PNRA	SS	18,000	169.17	n/a	n/a	540.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	POT	S	4,400	31.50	n/a	n/a	176.00	4.0
WINSLOW CAPITAL	030	PXD	S	5,300	186.78	n/a	n/a	159.00	3.0
FIRST NEW YORK	086	RAD	B	20,000	3.62	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	RRC	S	12,300	79.03	n/a	n/a	369.00	3.0
WAGONHOUND/NICOLAS	033	SAVE	B	22,044	33.25	n/a	10-Sep	881.76	4.0
WINSLOW CAPITAL	030	SLB	S	6,500	86.71	n/a	n/a	195.00	3.0
A. R. SCHMEIDLER & CO.	031	SPR	B	24,000	23.82	15-Aug	n/a	1,350.00	5.8
f EDWARD W WHEELER	FID	SWFT	S	200	1.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SYX	C	20,000	32.60	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	SYX	B	75,000	32.67	n/a	n/a	2,250.00	3.0
PRIMECAP MGMT	084	SZYM	B	5,000	10.93	n/a	n/a	200.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TFSL		S	5,000	11.42	n/a	n/a	150.00 3.0
PRIMECAP MGMT	084	TJX	B	2,100	54.05	21-Aug	n/a	84.00	4.0
B BUCK CAPITAL MGMT		TSCO	S	50,100	130.71	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	UAL	B	10,000	32.29	3-Sep	9-Sep	500.00	5.0
INTERVAL PARTNERS	033	UA	SS	5,000	80.65	n/a	11-Sep	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		UCP	B	5,600	13.87	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		ULTA 9 C100	SS	400	4.71	n/a	n/a	non-brg 300.0
B BUCK CAPITAL MGMT		ULTA	S	10,800	101.44	n/a	n/a	non-brg 2.0
B BUCK CAPITAL MGMT		ULTA	S	79,200	101.56	n/a	n/a	non-brg 4.0
PRIMECAP MGMT	084	UNP	B	1,000	155.70	n/a	n/a	40.00 4.0
BESSEMER INVESTMENT	085	USB	B	300,000	37.01	n/a	n/a	12,000.00 4.0
f WILLIAM J GAULT	FID	VXX	B	3000	14.34	n/a	n/a	0.00 0.0
SIGMA CAPITAL ASSOCIATES	041	WEN	SS	200,000	8.61	n/a	n/a	6,000.00 3.0
f IAN L MILLER	FID	WNC	S	150	11.36	n/a	n/a	0.00 0.0
f JONATHAN RICHARD HAR	FID	WTSL	B	1000	3.70	n/a	n/a	0.00 0.0
SUFFOLK CAPITAL MGMT	040	WYN	S	1,400	61.95	n/a	n/a	56.00 4.0
TOTAL (Trade Date):								75,748.96

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									75,748.96
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									75,748.96
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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 12-Sep.
NONE

MRI Securities without Trade Activity on 12-Sep.
MA

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)