



# Daily Compliance Activity Report

Trade Date: 11/29/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHRIS C	041	ABT	B	30,000	38.24	n/a	n/a	900.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>16.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC CHRIS C	041	ARAY	B	50,000	7.86	n/a	n/a	1,500.00	3.0
LATEEF MGMT	033	BA	S	100	134.87	n/a	13-Nov	30.00	30.0
<b>LISTED ERR</b>	<b>099</b>	<b>BA</b>	<b>B</b>	<b>250</b>	<b>134.55</b>	<b>n/a</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>BA</b>	<b>S</b>	<b>250</b>	<b>134.87</b>	<b>n/a</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>6,500</b>	<b>77.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>8,700</b>	<b>57.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC CHRIS C	041	BSX	B	50,000	11.70	n/a	n/a	1,500.00	3.0
LATEEF MGMT	033	CVS	S	500	67.05	n/a	n/a	55.00	11.0
LATEEF MGMT	033	DAL	S	250	28.92	n/a	27-Nov	30.00	12.0
LATEEF MGMT	033	DVN	B	500	60.83	n/a	n/a	55.00	11.0
LATEEF MGMT	033	ENR	S	300	110.97	n/a	6-Nov	45.00	15.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>20</b>	<b>2.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>FIO</b>	<b>S</b>	<b>200</b>	<b>9.92</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.	
CORTEX CAPITAL	031	GM	B	20,000	39.08	n/a	21-Nov	600.00	3.0
DELTEC ASSET MGMT.	040	GM	B	15,000	39.04	n/a	21-Nov	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>9,500</b>	<b>53.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MATRIX ASSET ADV.	091	HOLX	B	2,000	22.31	n/a	n/a	80.00	4.0
SAC CHRIS C	041	HOLX	SS	50,000	22.45	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ</b>	<b>S</b>	<b>10,900</b>	<b>24.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ</b>	<b>S</b>	<b>50,000</b>	<b>24.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEEF MGMT	033	INTC	S	400	23.78	n/a	n/a	40.00	10.0
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>S</b>	<b>12,500</b>	<b>29.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>NES</b>	<b>S</b>	<b>1000</b>	<b>1.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NVGS</b>	<b>B</b>	<b>4,900</b>	<b>20.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
LATEEF MGMT	033	OI	S	250	33.20	n/a	n/a	30.00	12.0
SAC CHRIS C	041	OREX	S	14,268	6.97	n/a	n/a	428.04	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>B</b>	<b>10,000</b>	<b>6.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
LATEEF MGMT	033	PG	S	100	84.60	n/a	6-Nov	30.00	30.0
ZWEIG FUNDS	006	P	S	25,000	28.45	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	040	SPY	S	11,011	181.51	n/a	n/a	550.55	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHRIS C	041	VOLC	B	40,000	22.75	n/a	n/a	1,200.00	3.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>WTSL</b>	<b>S</b>	<b>2000</b>	<b>3.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>10,573.59</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/27	TIDE POINT CAPITAL	028	GPI	S	10,000	67.80	n/a-2013-11-19	500.00	0.0
AO,	11/27	TIDE POINT CAPITAL	028	GPI	S	10,000	67.80	n/a-2013-11-19	300.00	0.0
AO,CRT	11/27	HAWK RIDGE	025	HMHC	B	20,000	17.02	n/a	n/a	600.00 3.0
AO,CXL	11/27	HAWK RIDGE	025	HMHC	B	20,000	17.02	n/a	n/a	1000.00 0.0
AO,	11/27	BTIG/MONT PELERIN	084	SNCR	S	8,488	32.03	n/a	n/a	339.52 0.0
AO,CXL	11/27	BTIG/MONT PELERIN	084	SNCR	S	8,488	32.03	n/a	n/a	339.52 0.0

**TOTAL (AO, CXL, CRT) :****-600.00**

TOTAL (Trade Date) :

10,573.59

TOTAL (AO, CXL, CRT) :

-600.00

**TOTAL (RUN DATE) / NFS:****9,973.59**

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 29-Nov.  
NONE

MRI Securities without Trade Activity on 29-Nov.  
NONE

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)**