



Daily Compliance Activity Report

Trade Date: 12/13/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	AEO	SS	35,000	14.25	n/a	n/a	1,050.00	3.0
EMPYREAN CAPITAL	084	AER	B	50,000	24.78	n/a	n/a	1,500.00	3.0
CLOVIS CAPITAL	033	ARG	SS	9,000	106.80	n/a	n/a	450.00	5.0
VISIUM/BALY BOBBY	044	AVP	S	211,718	16.81	n/a	13-Dec	10,585.90	5.0
BALYASNY ASSET MGMT	044	AWI	B	25,000	54.54	n/a	n/a	1,250.00	5.0
CADIAN CAPITAL	041	BC	B	8,000	46.08	n/a	n/a	240.00	3.0
VISIUM/BALY BOBBY	044	BMV	SS	80,000	50.33	n/a	n/a	4,000.00	5.0
BMO / M&I FUNDS	047	CAG	S	21,334	31.78	n/a	n/a	853.36	4.0
f JONATHAN RICHARD HAR	FID	CBK	S	3000	7.20	n/a	n/a	0.00	0.0
ACK ASSET	028	CHRW	SS	35,000	56.29	n/a	11-Dec	1,050.00	3.0
B BUCK CAPITAL MGMT		CNC	B	200	55.93	n/a	n/a	non-brg	3.0
VISIUM/BALY BOBBY	044	COO	C	29,981	122.64	n/a	n/a	1,499.05	5.0
INTERVAL PARTNERS	033	CSX	B	30,000	27.69	n/a	9-Dec	900.00	3.0
f EDWARD W WHEELER	FID	CVGI	S	10000	7.29	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ARTHUR K	FID	C	B	250	50.92	n/a	11-Dec	0.00	0.0
MATRIX ASSET ADV.	091	DD	B	500	60.16	n/a	n/a	20.00	4.0
B BUCK CAPITAL MGMT		DGX	B	18,000	54.41	n/a	n/a	non-brg	4.0
PAULSON & CO INC	041	DYN	C	50,000	20.57	n/a	n/a	2,000.00	4.0
YORK CAPITAL	036	ELN	S	500,000	17.84	n/a	n/a	5,000.00	1.0
EPOCH INV MGMT	030	FFBC	B	60,922	16.50	n/a	n/a	1,827.66	3.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	121.77	n/a	n/a	non-brg	4.0
OZ MGMT	040	F	SS	100,000	16.61	n/a	5-Dec	3,000.00	3.0
SCOPUS FUND	041	F	B	25,000	16.73	n/a	5-Dec	1,000.00	4.0
B BUCK CAPITAL MGMT		GES	C	25,000	30.76	n/a	5-Dec	non-brg	4.0
CORTEX CAPITAL	031	GES	SS	20,000	30.63	n/a	5-Dec	600.00	3.0
KLEINHEINZ CAP PART	031	GES	SS	62,858	30.52	n/a	5-Dec	3,142.90	5.0
CAERUS GLOBAL	041	GM	S	25,000	40.09	n/a	13-Dec	1,000.00	4.0
HALCYON LLC	041	GM	B	41,811	40.09	n/a	13-Dec	1,254.33	3.0
WEXFORD CAPITAL	284	GM	B	94,260	40.18	n/a	13-Dec	2,827.80	3.0
FOUNDRY PARTNERS LLC	030	HD	B	12,375	79.24	n/a	n/a	495.00	4.0
B BUCK CAPITAL MGMT		IJH	C	255,583	128.89	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	IP	S	10,000	47.80	n/a	13-Dec	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		IWO	SS	255,000	128.81	n/a	n/a	non-brg 1.0
CADIAN CAPITAL	041	JACK	B	32,000	46.87	n/a	n/a	960.00 3.0
B BUCK CAPITAL MGMT		JBLU	S	120,000	8.75	5-Dec	11-Dec	non-brg 3.0
CSL ASSOCIATES	006	JBLU	B	10,000	8.79	5-Dec	11-Dec	400.00 4.0
FARBER	006	JBLU	B	15,000	8.74	5-Dec	11-Dec	450.00 3.0
FIRST NY SEC/CHRIS	041	JBLU	B	10,000	8.72	5-Dec	11-Dec	500.00 5.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	128,600	8.75	5-Dec	11-Dec	3,858.00 3.0
WAGONHOUND/NICOLAS	033	JBLU	B	75,000	8.76	5-Dec	11-Dec	2,250.00 3.0
GEORGE WEISS	278	KNX	S	25,000	17.79	n/a	n/a	750.00 3.0
BALYASNY ASSET MGMT	044	KORS	B	25,000	82.00	n/a	n/a	1,250.00 5.0
B BUCK CAPITAL MGMT		KORS	S	10,000	82.15	n/a	n/a	non-brg 4.0
CHARTERBRIDGE CAPITAL	025	LULU	SS	13,000	59.01	13-Dec	13-Dec	390.00 3.0
COUGAR TRADING	044	LULU	SS	5,000	59.03	13-Dec	13-Dec	250.00 5.0
OTTER CREEK MGMT	093	LULU	B	10,000	59.12	13-Dec	13-Dec	500.00 5.0
ASCEND PARTNERS	033	MJN	S	16,450	84.08	n/a	n/a	493.50 3.0
BRONSON POINT	036	MS	S	45,000	30.79	n/a	11-Dec	1,350.00 3.0
B BUCK CAPITAL MGMT		NMBL	B	1,000	21.00	n/a	n/a	non-brg 0.0
B BUCK CAPITAL MGMT		NMBL	S	1,000	33.52	n/a	n/a	non-brg 2.5
f RAVI SADARANGANI	FID	NMBL	B	300	30.08	n/a	n/a	0.00 0.0
ACK ASSET	028	PGTI	B	25,000	9.90	n/a	n/a	750.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PII	S	5,000	134.69	n/a	n/a	non-brg	4.0
CORVEX CAPITAL	041	QCOM	SS	50,000	72.70	n/a	n/a	1,500.00	3.0
COLUMBUS CIRCLE	036	RATE	S	5,496	17.16	n/a	n/a	195.66	3.0
ROTHSCHILD ASSET	040	RFMD	S	4,110	5.05	n/a	n/a	164.40	4.0
ASCEND PARTNERS	033	RH	S	70,000	63.89	n/a	n/a	2,100.00	3.0
f EDWARD W WHEELER	FID	R	S	190	3.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIG	S	10,000	75.33	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPN	B	20,000	24.94	n/a	n/a	non-brg	4.0
EMPYREAN CAPITAL	084	UAL	C	75,000	38.65	20-Nov	9-Dec	2,250.00	3.0
FIRST NY SEC/CHRIS	041	UAL	B	6,400	38.33	20-Nov	9-Dec	320.00	5.0
BALYASNY ASSET MGMT	044	VMC	B	25,000	56.10	n/a	n/a	1,250.00	5.0
VISIUM/BALY BOBBY	044	VRX	B	37,000	106.23	n/a	n/a	1,850.00	5.0
f JONATHAN RICHARD HAR	FID	WTSI	S	424	2.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WYNN	S	15	1.93	n/a	n/a	0.00	0.0
EMPYREAN CAPITAL	084	XLE	SS	50,000	85.11	n/a	n/a	1,500.00	3.0
f DAVID GEORGE BUCK	FID		S	100000	97.55	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

71,227.56

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/12	PATTEN & PATTEN	025	KMB	S	500	103.81	n/a-2013-12-04	25.00	0.0
AO,CXL	12/12	PATTEN & PATTEN	025	KMB	S	500	103.81	n/a-2013-12-04	25.00	0.0
AO,	12/12	DONALD SMITH	088	LUV	S	22,134	18.35-2013-12-05-2013-12-09	664.02	0.0	
AO,CRT	12/12	HIGHLINE ADV	044	MGM	B	400,000	20.80	n/a	n/a 20000.00	0.0
AO,CXL	12/12	HIGHLINE ADV	044	MGM	B	400,000	20.80	n/a	n/a 16000.00	0.0
AO,CXL	12/12	METROPOLITAN CAPITAL	044	PLCE	B	8,600	53.68-2013-11-26-2013-11-27	430.00	0.0	
AO,	12/12	METROPOLITAN CAPITAL	044	PLCE	B	8,600	53.67-2013-11-26-2013-11-27	430.00	0.0	

TOTAL (AO, CXL, CRT) :**4,664.02**

TOTAL (Trade Date):

71,227.56

TOTAL (AO, CXL, CRT):

4,664.02

TOTAL (RUN DATE) / NFS:**75,891.58**

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 13-Dec.

LULU

MRI Securities without Trade Activity on 13-Dec.

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)