



Daily Compliance Activity Report

Trade Date: 08/28/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	AIG	B	10,000	46.33	n/a	n/a	300.00	3.0
CADIAN CAPITAL	041	AN	SS	23,000	45.28	n/a	16-Aug	690.00	3.0
LEVIN CAPITAL STRATEGIES	041	APD	B	10,133	101.80	n/a	n/a	303.99	3.0
BNP PARIBAS SEC	040	APOL	S	15,000	18.56	n/a	n/a	450.00	3.0
LAKEWOOD CAPITAL MGMT	085	AXDX	SS	5,000	9.65	n/a	n/a	150.00	3.0
SCOPUS FUND	041	AXL	B	15,000	19.29	5-Aug	16-Aug	600.00	4.0
SCOPUS FUND	041	AZO	B	6,100	418.55	n/a	n/a	244.00	4.0
SURVEYOR CAPITAL	251	AZO	SS	6,000	418.55	n/a	n/a	240.00	4.0
f MANNY I KORMAN	FID	BA	B	100	13.20	2-Aug	n/a	0.00	0.0
f MANNY I KORMAN	FID	BA	S	100	5.14	2-Aug	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BC		B	37,843	36.03	n/a	n/a	1,135.29	3.0
FINDLAY PARK PART	085	BK	B	156,000	29.80	n/a	23-Aug	6,973.38	172.0
BERYLSON CAPITAL	030	BONT	B	24,016	11.20	23-Aug	22-Aug	720.48	3.0
f JONATHAN RICHARD HAR	FID	CACH	B	1000	4.50	n/a	n/a	0.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040	CBB		S	198,000	3.02	n/a	n/a	3,960.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	CF	B	1,000	190.28		n/a	n/a	30.00	3.0
IMPALA ASSET MMT	040	CHRW	SS	51,047	57.39	n/a	26-Aug	2,552.35	5.0	
PRIMECAP MGMT	084	CHRW	B	4,000	57.25	n/a	26-Aug	160.00	4.0	
PAR CAPITAL	029	CNQ	S	100,000	31.42	n/a	n/a	4,000.00	4.0	
SANDLER CAPITAL	028	CNQ	C	150,000	31.31	n/a	n/a	7,500.00	5.0	
IMPALA ASSET MMT	040	CSX	S	40,000	24.56	n/a	n/a	1,600.00	4.0	
IMPALA ASSET MMT	040	DAL	S	200,000	19.05	n/a	19-Aug	8,000.00	4.0	
LAKEWOOD CAPITAL MGMT	085	DAN	S	21,270	21.19	n/a	16-Aug	638.10	3.0	
BNP PARIBAS SEC	040	DHI	S	20,000	17.70	n/a	n/a	600.00	3.0	
B BUCK CAPITAL MGMT		DHI	B	30,000	17.68	n/a	n/a	non-brg	3.0	
MACELLUM CAPITAL	086	DLTR	B	40,000	53.45	n/a	27-Aug	1,200.00	3.0	
f MARK ANTHONY GRONET	FID	DOLE	S	1000	13.76	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		DRI	C	40,000	46.68	n/a	n/a	non-brg	4.0	
BALYASNY ASSET MGMT	044	EAT	SS	15,000	41.07	5-Aug	2-Aug	750.00	5.0	
IMPALA ASSET MMT	040	FDX	SS	56,068	108.42	n/a	16-Aug	2,803.40	5.0	
f MARK ANTHONY GRONET	FID	FFRHX	S	2754	9.93	n/a	n/a	0.00	0.0	
BALYASNY ASSET MGMT	044	FINL	B	25,000	20.85	n/a	28-Aug	1,250.00	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	FRAN	S	50,000	24.28	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		FWM	B	300	23.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FWM	B	5,000	23.05	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		FWM	B	8,000	23.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FWM	B	8,700	22.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	B	11,200	44.99	9-Aug[i]	n/a	non-brg	4.0
CADIAN CAPITAL	041	GPC	C	13,000	77.25	n/a	n/a	390.00	3.0
CADIAN CAPITAL	041	GPS	SS	75,000	40.55	n/a	n/a	2,250.00	3.0
LAKEWOOD CAPITAL MGMT	085	HCI	C	3,000	30.65	n/a	n/a	90.00	3.0
BRONSON POINT	036	JCI	S	25,000	40.14	n/a	15-Aug	750.00	3.0
f ALANA J A MADIGAN-SI	FID	JCP	B	400	12.89	21-Aug	27-Aug	0.00	0.0
f ALANA J A MADIGAN-SI	FID	JOY	B	100	49.88	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	JPMPRD	B	1000	21.58	n/a	n/a	0.00	0.0
SCOPUS FUND	041	KSS	B	6,459	50.56	n/a	16-Aug	258.36	4.0
STRONG/MARK GRONET	030	LCC	B	14,760	15.36	n/a	28-Aug	590.40	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	14.84	n/a	28-Aug	2,500.00	5.0
CADIAN CAPITAL	041	LULU	SS	20,000	69.49	n/a	27-Aug	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
TRUST CO/COWEN/CALF.	040	MSFT	B	50,000	33.28	n/a	n/a	2,500.00	5.0	
HIGHFIELDS CAP MGMT	030	MU	S	200,000	13.24	n/a	n/a	8,000.00	4.0	
BALYASNY ASSET MGMT	044	M	B	50,000	43.70	15-Aug	14-Aug	2,500.00	5.0	
IMPALA ASSET MMT	040	M	S	100,000	43.59	15-Aug	14-Aug	5,000.00	5.0	
SCOPUS FUND	041	M	B	25,000	43.67	15-Aug	14-Aug	1,000.00	4.0	
LAKEWOOD CAPITAL MGMT	085	NAVB	C	50,000	2.96	n/a	n/a	1,500.00	3.0	
LAKEWOOD CAPITAL MGMT	085	NBR	S	85,000	15.77	n/a	n/a	2,550.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251	NE		B	2,000	38.47		n/a	n/a	60.00	3.0
BNP PARIBAS SEC	040	NFLX	B	2,000	284.24	n/a	n/a	60.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251	ONXX		S	5,000	123.40		n/a	n/a	150.00	3.0
f JONATHAN RICHARD HAR	FID	PBI	S	35	1.80	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		PETM	C	7,000	70.41	n/a	n/a	non-brg	4.0	
SANDLER O'NEILL ASSET	031	PNC	B	9,400	72.45	n/a	n/a	470.00	5.0	
MERRILL ASSET/BLACKROCK	085	PNFP	S	22,152	28.17	n/a	n/a	886.08	4.0	
LAKEWOOD CAPITAL MGMT	085	PRI	S	10,000	37.45	n/a	n/a	300.00	3.0	
DAVIDSON KEMPNER ADVISOR	281	RDEN	C	21,550	34.07	9-Aug	8-Aug	1,077.50	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	SBUX	B	100	70.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	85,500	24.40	n/a	n/a	non-brg	4.0
DPB CAPITAL	029	SIRI	S	5,000	3.59	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		SLXP	C	8,853	66.33	n/a	26-Aug	non-brg	3.0
B BUCK CAPITAL MGMT		SPN	B	20,000	25.12	n/a	n/a	non-brg	4.0
f ALANA J A MADIGAN-SI	FID	SPXS	S	40	49.94	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	SPY	S	40,000	163.54	n/a	n/a	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	SPY	SS	6,280	164.11	n/a	n/a	188.40	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	B	2,000	46.62		n/a	n/a	60.00 3.0
B BUCK CAPITAL MGMT		TDG	C	2,600	137.26	n/a	n/a	non-brg	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TIBX	B	7,500	22.63		n/a	n/a	225.00 3.0
BNP PARIBAS SEC	040	TMV	B	10,000	71.68	n/a	n/a	300.00	3.0
LAKEWOOD CAPITAL MGMT	085	TNGO	SS	5,000	20.02	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	TRW	B	72,000	68.83	n/a	n/a	3,600.00	5.0
IMPALA ASSET MMT	040	TRW	S	52,920	68.57	n/a	n/a	2,646.00	5.0
NEUBERGER BERMAN	036	TXRH	B	22,600	25.05	n/a	n/a	904.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		UCP	B	7,785	13.20	n/a	n/a	non-brg	4.0
LAKEWOOD CAPITAL MGMT	085	UNXL	C	10,000	18.33	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		WCIC	B	22,500	15.23	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	091	WFC	B	500	41.17	n/a	28-Aug	20.00	4.0
BNP PARIBAS SEC	040	WFM	B	20,000	51.64	n/a	n/a	600.00	3.0
ARDSLEY PARTNERS	280	WSM	C	5,000	59.97	n/a	n/a	250.00	5.0
LEVIN CAPITAL STRATEGIES	041	WSM	C	6,491	59.35	n/a	n/a	194.73	3.0
CADIAN CAPITAL	041	XRT	SS	50,000	77.75	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	YUM	B	10,000	71.00	13-Aug	5-Aug	300.00	3.0
NEUBERGER BERMAN	036	ZLC	B	35,100	10.69	n/a	n/a	1,404.00	4.0
MATRIX ASSET ADV.	091	ZMH	B	800	78.53	n/a	n/a	32.00	4.0
TOTAL (Trade Date) :								96,757.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	14,100	49.72	n/a	n/a	696.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	14,100	49.66	n/a	n/a	423.00 0.0
AO,CXL	08/27	NOMURA/ANGEL LANE PRINCIPAL	040	GM	S	150,000	33.82	n/a-2013-08-16		4500.00 0.0
AO,	08/27	NOMURA/ANGEL LANE PRINCIPAL	040	GM	S	150,000	33.79	n/a-2013-08-16		4500.00 0.0
AO,	08/27	COLUMBUS CIRCLE	036	MOV	B	3,697	41.68	n/a	n/a	147.88 0.0
AO,CRT	08/27	KORT	025	RIO	SS	10,000	46.65	n/a	n/a	300.00 0.0
AO,CXL	08/27	CYRUS CAPITAL	025	RIO	SS	10,000	46.65	n/a	n/a	300.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	B	8,169	47.46	n/a	n/a	245.07 0.0
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	B	8,169	47.48	n/a	n/a	395.07 0.0
AO,	08/27	COLUMBUS CIRCLE	036	TMH	S	1,209	39.32	n/a	n/a	48.36 0.0
AO,CXL	08/27	SIGMA CAP BOBBY	044	WEN	SS	200,000	7.81	n/a	n/a	6000.00 0.0
AO,CRT	08/27	SIGMA CAPITAL ASSOCIATES	041	WEN	SS	200,000	7.81	n/a	n/a	6000.00 0.0
TOTAL (AO, CXL, CRT) :										-226.76

TOTAL (Trade Date):	96,757.46
TOTAL (AO, CXL, CRT):	-226.76

TOTAL (RUN DATE) / NFS:

96,530.70

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 28-Aug.
NONE

MRI Securities without Trade Activity on 28-Aug.
RTN

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)