



Daily Compliance Activity Report

Trade Date: 08/30/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	AOS	B	12,500	42.19	n/a	n/a	375.00	3.0
BRONSON POINT	036	ARO	SS	100,000	8.19	n/a	n/a	3,000.00	3.0
f GERALD EPHRAM COHEN	FID	BAM	B	290	34.75	n/a	n/a	0.00	0.0
LISTED ERR	099	BEE	S	84	8.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	SS	35,000	35.63	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	BKD	S	9,007	25.22	n/a	n/a	360.28	4.0
FIFTH THIRD BANK/FREEMAN	047	BND	B	5,000	80.28	n/a	n/a	150.00	3.0
INTERVAL PARTNERS	033	CAKE	SS	5,000	41.92	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	CNW	S	30,000	41.74	2-Aug	21-Aug	1,500.00	5.0
PATTEN & PATTEN	025	COST	B	100	112.02	n/a	n/a	5.00	5.0
ARDSLEY PARTNERS	280	CREE	S	10,000	55.66	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	CSD	B	200	38.30	n/a	n/a	10.00	5.0
DENVER INST. ADV	046	CSII	B	34,100	20.53	n/a	n/a	1,364.00	4.0
LATEEF MGMT	033	DD	B	100	56.72	n/a	n/a	30.00	30.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DE	B	100	83.61	n/a	n/a	30.00	30.0
LATEEF MGMT	033	DRE	B	275	14.69	n/a	n/a	27.50	10.0
PATTEN & PATTEN	025	EEM	B	100	37.80	n/a	n/a	5.00	5.0
HERRING CREEK CAPITAL MGMT LLC040	ETN		B	11,400	63.37	n/a	5-Aug	342.00	3.0
PATTEN & PATTEN	025	EWA	S	200	23.51	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	FCX	S	200	30.14	n/a	n/a	10.00	5.0
ARDSLEY PARTNERS	280	FLR	S	5,000	63.37	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		FTK	B	25,000	19.90	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FTK	B	7,665	19.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	20,000	61.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	B	8,000	61.29	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	SS	37,000	30.49	29-Aug	29-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GI11	B	16,000	45.67	9-Aug[i]	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GI11	B	8,983	45.79	9-Aug[i]	n/a	non-brg	3.0
LATEEF MGMT	033	GIS	B	125	49.00	n/a	n/a	31.25	25.0
LATEEF MGMT	033	GSPRD	B	250	20.16	n/a	n/a	25.00	10.0
f FRANCIS MICHAEL MCCA	FID	JBLU	B	1000	6.21	n/a	29-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	JNY	B	75,000	14.78	n/a	1-Aug	3,750.00	5.0
f FRANCIS MICHAEL MCCA	FID	JPM	B	100	50.74	n/a	28-Aug	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	JPM	B	100	50.80	n/a	28-Aug	0.00	0.0
CORNERSTONE	030	KO	S	145,000	38.23	n/a	29-Aug	4,350.00	3.0
LATEEF MGMT	033	KR	B	125	36.47	n/a	n/a	31.25	25.0
IMPALA ASSET MMT	040	KSS	SS	50,000	51.30	n/a	16-Aug	2,500.00	5.0
LATEEF MGMT	033	K	B	100	60.62	n/a	n/a	30.00	30.0
BRONSON POINT	036	MDLZ	S	25,000	30.82	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MOH	B	15,000	33.69	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	MTH	B	40,000	39.93	n/a	n/a	1,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	20,000	35.89	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	M	B	2,550	44.79	15-Aug	14-Aug	127.50	5.0
COBALT	041	NFX	B	100,000	24.09	n/a	n/a	4,000.00	4.0
BRONSON POINT	036	PG	S	50,000	77.66	2-Aug	15-Aug	1,500.00	3.0
CR INTRINIC INVESTMENT	044	PHM	B	50,000	15.40	n/a	n/a	1,500.00	3.0
FIFTH THIRD BANK/FREEMAN	047	PMF	S	25,096	12.03	n/a	n/a	1,254.80	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	PSUN	B	700	3.17	n/a	n/a	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	PSUN	B	1500	3.19	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RAD	B	100,000	3.50	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RAD	B	200,000	3.50	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RDN	S	6,000	14.44	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	RYL	B	100,000	34.79	n/a	n/a	4,000.00	4.0
LISTED ERR	099	RYL	S	2,534	34.82	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	SFM	B	100	36.79	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SLB	B	30	2.28	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SLXP	C	4,147	67.27	n/a	30-Aug	non-brg	3.0
LATEEF MGMT	033	SPLS	B	300	13.90	n/a	n/a	30.00	10.0
ARDSLEY PARTNERS	280	SPWR	C	25,000	21.55	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	040	SPY	SS	122,000	163.88	n/a	n/a	6,100.00	5.0
BRANDWINE	028	STX	B	423,568	38.33	n/a	n/a	16,942.72	4.0
ß BUCK CAPITAL MGMT		SWN	S	13,000	38.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TDG	C	8,100	136.59	n/a	n/a	non-brg	3.0
PATTEN & PATTEN	025	TGT	S	1,500	63.30	n/a	22-Aug	75.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	TIF	S	100	77.06	n/a	n/a	5.00	5.0
IMPALA ASSET MMT	040	TJX	B	25,000	52.66	21-Aug	7-Aug	1,250.00	5.0
ARDSLEY PARTNERS	280	TRMB	S	10,000	25.40	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	TSLA	B	33	165.89	n/a	n/a	1.65	5.0
ARDSLEY PARTNERS	280	TSL	C	50,000	9.62	n/a	n/a	1,500.00	3.0
LATEEF MGMT	033	TSN	B	150	28.87	n/a	n/a	30.00	20.0
CADIAN CAPITAL	041	TXN	SS	70,000	38.15	n/a	n/a	2,100.00	3.0
LATEEF MGMT	033	T	B	125	33.60	n/a	n/a	31.25	25.0
CLEARLINE CAPITAL LLC	006	ULTI	SS	1,040	143.16	n/a	n/a	31.20	3.0
INTERVAL PARTNERS	033	URBN	B	5,000	41.91	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		WGO	B	5,000	22.26	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	5,000	22.40	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	WHR	B	35,050	129.22	n/a	n/a	1,752.50	5.0
ARDSLEY PARTNERS	280	WSM	C	5,000	56.41	n/a	n/a	250.00	5.0
TOTAL (Trade Date) :								66,717.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/29	LISTED ERR	099	BEE	B	1,184	8.31	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	66,717.90
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	66,717.90
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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-Aug.
NONE

MRI Securities without Trade Activity on 30-Aug.
CLX

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)