



# Daily Compliance Activity Report

Trade Date: 12/11/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                    | RR#        | Symbol      | B/S       | Shares        | Price        | MRI           | Research     | Comm. ¢/Shr.   |            |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|--------------|----------------|------------|
| RIDGECREST INV MGMT LLC    | 028        | AAL         | SS        | 5,000         | 26.14        | n/a           | 9-Dec        | 200.00         | 4.0        |
| RIDGECREST INV MGMT LLC    | 028        | AAL         | S         | 5,000         | 26.46        | n/a           | 9-Dec        | 200.00         | 4.0        |
| <b>f IAN L MILLER</b>      | <b>FID</b> | <b>ABX</b>  | <b>B</b>  | <b>75</b>     | <b>16.73</b> | <b>n/a</b>    | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>ALK</b>  | <b>SS</b> | <b>7,000</b>  | <b>73.72</b> | <b>15-Nov</b> | <b>9-Dec</b> | <b>non-brg</b> | <b>4.0</b> |
| SAC CAPITAL/M GRONET       | 030        | ANN         | B         | 50,000        | 35.99        | n/a           | n/a          | 1,500.00       | 3.0        |
| BTIG/LIGHT STREET CAPITAL  | 044        | ARUN        | SS        | 20,000        | 16.52        | n/a           | n/a          | 600.00         | 3.0        |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>ATHM</b> | <b>B</b>  | <b>1,000</b>  | <b>17.00</b> | <b>n/a</b>    | <b>n/a</b>   | <b>non-brg</b> | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>ATHM</b> | <b>S</b>  | <b>1,000</b>  | <b>30.01</b> | <b>n/a</b>    | <b>n/a</b>   | <b>non-brg</b> | <b>2.5</b> |
| BRONSON POINT              | 036        | ATI         | B         | 10,000        | 31.86        | 9-Dec         | 9-Dec        | 300.00         | 3.0        |
| BTIG/LIGHT STREET CAPITAL  | 044        | BBRY        | B         | 63,120        | 6.06         | n/a           | n/a          | 1,893.60       | 3.0        |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>BHI</b>  | <b>B</b>  | <b>10,000</b> | <b>52.78</b> | <b>n/a</b>    | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| SUFFOLK CAPITAL MGMT       | 040        | CAH         | B         | 300           | 67.24        | n/a           | n/a          | 12.00          | 4.0        |
| HOTCHKIS & WILEY           | 084        | CAR         | S         | 63,200        | 36.93        | n/a           | n/a          | 2,528.00       | 4.0        |
| TIDE POINT CAPITAL         | 028        | CAR         | B         | 10,000        | 36.86        | n/a           | n/a          | 300.00         | 3.0        |
| BALYASNY ASSET MGMT        | 044        | CHRW        | SS        | 25,000        | 57.35        | n/a           | 11-Dec       | 1,250.00       | 5.0        |
| CORTEX CAPITAL             | 031        | CHRW        | SS        | 6,000         | 57.52        | n/a           | 11-Dec       | 180.00         | 3.0        |

| Account                    | RR#        | Symbol      | B/S      | Shares        | Price         | MRI        | Research      | Comm. ¢/Shr.   |            |
|----------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| ACK ASSET                  | 028        | CNW         | SS       | 20,000        | 40.08         | n/a        | n/a           | 600.00         | 3.0        |
| TIDE POINT CAPITAL         | 028        | CNW         | B        | 20,000        | 40.74         | n/a        | n/a           | 600.00         | 3.0        |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>COST</b> | <b>B</b> | <b>20,000</b> | <b>118.25</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>COST</b> | <b>S</b> | <b>20,000</b> | <b>119.52</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| SUFFOLK CAPITAL MGMT       | 040        | CSCO        | S        | 76,700        | 20.90         | n/a        | n/a           | 3,068.00       | 4.0        |
| SUFFOLK CAPITAL MGMT       | 040        | CVS         | B        | 300           | 68.38         | n/a        | n/a           | 12.00          | 4.0        |
| <b>f CICYLY S BACKUS</b>   | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>1000</b>   | <b>50.55</b>  | <b>n/a</b> | <b>11-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f JACK H CERNUS</b>     | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>500</b>    | <b>51.42</b>  | <b>n/a</b> | <b>11-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f JENNIFER S CERNUS</b> | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>300</b>    | <b>51.52</b>  | <b>n/a</b> | <b>11-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f LEE F BACKUS</b>      | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>1000</b>   | <b>50.57</b>  | <b>n/a</b> | <b>11-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| FRIESS MGMT                | 033        | DISCA       | S        | 35,410        | 85.90         | n/a        | n/a           | 1,416.40       | 4.0        |
| SUFFOLK CAPITAL MGMT       | 040        | DISCA       | B        | 300           | 85.94         | n/a        | n/a           | 12.00          | 4.0        |
| SAC CAPITAL/M GRONET       | 030        | DLTR        | B        | 35,000        | 56.01         | 22-Nov     | 2-Dec         | 1,050.00       | 3.0        |
| SAC CAPITAL/M GRONET       | 030        | DRI         | SS       | 45,000        | 51.28         | n/a        | n/a           | 1,350.00       | 3.0        |
| WHITE PINE CAPITAL         | 030        | DXLG        | B        | 37,200        | 6.24          | n/a        | n/a           | 1,860.00       | 5.0        |
| SUFFOLK CAPITAL MGMT       | 040        | EBAY        | B        | 400           | 51.86         | n/a        | n/a           | 16.00          | 4.0        |
| HERRING CREEK CAPITAL      | 040        | EVR         | SS       | 7,920         | 55.15         | n/a        | n/a           | 237.60         | 3.0        |
| SAC CAPITAL/M GRONET       | 030        | FL          | B        | 25,000        | 38.95         | 25-Nov     | 11-Dec        | 750.00         | 3.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price         | MRI              | Research      | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------------|---------------|----------------|------------|
| SUFFOLK CAPITAL MGMT          | 040        | FOX         | S        | 1,100         | 32.04         | n/a              | n/a           | 44.00          | 4.0        |
| BTIG/LIGHT STREET CAPITAL     | 044        | FXI         | SS       | 50,000        | 38.59         | n/a              | n/a           | 1,500.00       | 3.0        |
| MAPLE LANE CAPITAL            | 040        | FXI         | B        | 55,000        | 38.62         | n/a              | n/a           | 2,200.00       | 4.0        |
| OZ MGMT                       | 040        | F           | C        | 121,763       | 16.53         | n/a              | 5-Dec         | 3,652.89       | 3.0        |
| SPARTAN                       | 093        | F           | SS       | 40,000        | 16.42         | n/a              | 5-Dec         | 1,200.00       | 3.0        |
| <b>f LARA HUNT SMITH</b>      | <b>FID</b> | <b>GMCR</b> | <b>B</b> | <b>10</b>     | <b>7.19</b>   | <b>19-Nov[i]</b> | <b>4-Dec</b>  | <b>0.00</b>    | <b>0.0</b> |
| <b>f MICHAEL ALEXANDER SM</b> | <b>FID</b> | <b>GMCR</b> | <b>B</b> | <b>15</b>     | <b>7.22</b>   | <b>19-Nov[i]</b> | <b>4-Dec</b>  | <b>0.00</b>    | <b>0.0</b> |
| <b>f MICHAEL ALEXANDER SM</b> | <b>FID</b> | <b>GMCR</b> | <b>B</b> | <b>20</b>     | <b>7.23</b>   | <b>19-Nov[i]</b> | <b>4-Dec</b>  | <b>0.00</b>    | <b>0.0</b> |
| <b>f MICHAEL ALEXANDER SM</b> | <b>FID</b> | <b>GMCR</b> | <b>B</b> | <b>5</b>      | <b>7.20</b>   | <b>19-Nov[i]</b> | <b>4-Dec</b>  | <b>0.00</b>    | <b>0.0</b> |
| <b>f IAN L MILLER</b>         | <b>FID</b> | <b>GM</b>   | <b>B</b> | <b>35</b>     | <b>40.52</b>  | <b>n/a</b>       | <b>10-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| HOLLIS CAPITAL                | 033        | GRA         | S        | 5,000         | 94.03         | n/a              | n/a           | 250.00         | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>HAL</b>  | <b>B</b> | <b>10,000</b> | <b>49.16</b>  | <b>n/a</b>       | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>HD</b>   | <b>B</b> | <b>67,500</b> | <b>79.05</b>  | <b>n/a</b>       | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| MFP INVESTORS                 | 085        | HES         | B        | 50,000        | 79.59         | n/a              | n/a           | 2,500.00       | 5.0        |
| <b>f EDWARD W WHEELER</b>     | <b>FID</b> | <b>HRS</b>  | <b>B</b> | <b>100</b>    | <b>6.50</b>   | <b>n/a</b>       | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f CICILY S BACKUS</b>      | <b>FID</b> | <b>HTZ</b>  | <b>B</b> | <b>2000</b>   | <b>24.61</b>  | <b>n/a</b>       | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>IP</b>   | <b>B</b> | <b>10,000</b> | <b>46.26</b>  | <b>n/a</b>       | <b>6-Dec</b>  | <b>non-brg</b> | <b>4.0</b> |
| <b>f YANAI A FRANK</b>        | <b>FID</b> | <b>ISRG</b> | <b>B</b> | <b>25</b>     | <b>366.78</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. |            |
|--------------------------|------------|------------|----------|-------------|--------------|------------|------------|-------------|------------|
| FIRST NY SEC/CHRIS       | 041        | JBLU       | B        | 18,000      | 8.46         | 5-Dec      | 11-Dec     | 900.00      | 5.0        |
| LOMAS CAPITAL            | 040        | JBLU       | S        | 367,000     | 8.38         | 5-Dec      | 11-Dec     | 7,340.00    | 2.0        |
| SYSTEMATIC FINANCIAL MGT | 070        | JBLU       | B        | 138,800     | 8.40         | 5-Dec      | 11-Dec     | 4,164.00    | 3.0        |
| DISU                     | 030        | LB         | S        | 3,700       | 61.30        | n/a        | n/a        | 185.00      | 5.0        |
| <b>f MANNY I KORMAN</b>  | <b>FID</b> | <b>LGF</b> | <b>S</b> | <b>8000</b> | <b>28.77</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| LOCUST WOOD CAPITAL MGMT | 044        | LMCA       | S        | 8,787       | 147.40       | n/a        | n/a        | 351.48      | 4.0        |
| <b>f MANNY I KORMAN</b>  | <b>FID</b> | <b>LTM</b> | <b>S</b> | <b>3000</b> | <b>46.22</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| BTG PACTUAL              | 040        | MCD        | SS       | 10,600      | 95.51        | n/a        | 9-Dec      | 318.00      | 3.0        |
| SAC CHRIS C              | 041        | MR         | B        | 15,000      | 39.95        | n/a        | n/a        | 450.00      | 3.0        |
| FRED ALGER MGMT          | 300        | MSCC       | S        | 40,400      | 23.34        | n/a        | n/a        | 1,454.40    | 4.0        |
| <b>f MANNY I KORMAN</b>  | <b>FID</b> | <b>MWO</b> | <b>S</b> | <b>1200</b> | <b>23.04</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| YORK CAPITAL             | 036        | MYL        | B        | 70,000      | 41.66        | 11-Dec     | 11-Dec     | 2,100.00    | 3.0        |
| YORK CAPITAL             | 036        | NCQ        | S        | 32,012      | 1.50         | n/a        | n/a        | 320.12      | 1.0        |
| TOCQUEVILLE              | 046        | NCS        | S        | 20,000      | 17.15        | n/a        | n/a        | 1,000.00    | 5.0        |
| KLEINHEINZ CAP PART      | 031        | NFX        | B        | 100,000     | 24.56        | n/a        | n/a        | 5,000.00    | 5.0        |
| BLUE MOUNTAIN CAPITAL    | 087        | NRF        | S        | 100,000     | 11.86        | n/a        | n/a        | 5,000.00    | 5.0        |

| Account                    | RR#        | Symbol      | B/S       | Shares        | Price        | MRI           | Research      | Comm.¢/Shr.    |              |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|----------------|--------------|
| CRAMER ROSENTHAL           | 070        | PENN        | B         | 5,000         | 14.25        | n/a           | n/a           | 200.00         | 4.0          |
| SUFFOLK CAPITAL MGMT       | 040        | PEP         | B         | 630           | 82.53        | n/a           | n/a           | 25.20          | 4.0          |
| SUFFOLK CAPITAL MGMT       | 040        | PFE         | S         | 46,180        | 31.19        | n/a           | n/a           | 1,847.20       | 4.0          |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>PLCE</b> | <b>SS</b> | <b>20,000</b> | <b>54.92</b> | <b>26-Nov</b> | <b>27-Nov</b> | <b>non-brg</b> | <b>4.0</b>   |
| SUFFOLK CAPITAL MGMT       | 040        | PM          | B         | 600           | 85.94        | n/a           | n/a           | 24.00          | 4.0          |
| <b>f MANNY I KORMAN</b>    | <b>FID</b> | <b>PNI</b>  | <b>S</b>  | <b>208</b>    | <b>10.20</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>   |
| BALYASNY ASSET MGMT        | 044        | PWR         | B         | 25,000        | 29.00        | n/a           | n/a           | 1,250.00       | 5.0          |
| DISU                       | 030        | RCL         | S         | 2,700         | 43.54        | n/a           | n/a           | 135.00         | 5.0          |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>RKT</b>  | <b>B</b>  | <b>5,000</b>  | <b>96.15</b> | <b>n/a</b>    | <b>6-Dec</b>  | <b>non-brg</b> | <b>4.0</b>   |
| NUVEEN - US BANCORP        |            | 030 SIRI    | S         | 221,400       | 3.55         |               | n/a           | n/a            | 6,642.00 3.0 |
| MACELLUM CAPITAL           | 086        | SIX         | S         | 33,419        | 36.04        | n/a           | n/a           | 1,002.57       | 3.0          |
| RIDGECREST INV MGMT LLC    | 028        | TAN         | SS        | 10,000        | 34.40        | n/a           | n/a           | 400.00         | 4.0          |
| BTIG/LIGHT STREET CAPITAL  | 044        | TDC         | SS        | 25,000        | 40.53        | n/a           | n/a           | 750.00         | 3.0          |
| INTERVAL PARTNERS          | 033        | TGT         | B         | 10,000        | 63.35        | n/a           | 2-Dec         | 300.00         | 3.0          |
| DISU                       | 030        | TJX         | S         | 7,100         | 61.59        | 20-Nov        | 20-Nov        | 355.00         | 5.0          |

| Account                     | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.      |            |
|-----------------------------|------------|-------------|----------|---------------|--------------|------------|------------|------------------|------------|
| ARDSLEY PARTNERS            | 280        | TSL         | C        | 150,000       | 11.90        | n/a        | n/a        | 7,500.00         | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT  |            | <b>ULTA</b> | <b>B</b> | <b>16,500</b> | <b>93.99</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>4.0</b> |
| <b>B</b> BUCK CAPITAL MGMT  |            | <b>VNCE</b> | <b>S</b> | <b>6,310</b>  | <b>31.15</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>4.0</b> |
| SUFFOLK CAPITAL MGMT        | 040        | VRX         | S        | 1,190         | 107.52       | n/a        | n/a        | 47.60            | 4.0        |
| <b>f</b> EDWARD W WHEELER   | <b>FID</b> | <b>WAG</b>  | <b>B</b> | <b>3000</b>   | <b>56.76</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| SUFFOLK CAPITAL MGMT        | 040        | WMT         | B        | 660           | 79.30        | 15-Nov     | 2-Dec      | 26.40            | 4.0        |
| ROSEDALE CAPITAL            | 046        | WY          | B        | 10,000        | 29.57        | n/a        | 11-Dec     | 400.00           | 4.0        |
| <b>f</b> DAVID GEORGE BUCK  | <b>FID</b> |             | <b>B</b> | <b>35000</b>  | <b>93.94</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| <b>TOTAL (Trade Date) :</b> |            |             |          |               |              |            |            | <b>80,770.46</b> |            |

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

| Type                          | Date  | Account                     | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,                           | 12/09 | NOMURA/ANGEL LANE PRINCIPAL | 040  | GE     | B   | 75,000 | 27.25 | n/a | n/a      | 2250.00 0.0 |
| AO,CXL                        | 12/09 | NOMURA/ANGEL LANE PRINCIPAL | 040  | GE     | B   | 75,000 | 27.27 | n/a | n/a      | 2250.00 0.0 |
| AO,CRT                        | 12/10 | LIONEYE CAPITAL             | 040  | GIB    | SS  | 5,000  | 34.61 | n/a | n/a      | 250.00 0.0  |
| AO,CXL                        | 12/10 | LIONEYE CAPITAL             | 040  | GIB    | SS  | 5,000  | 34.61 | n/a | n/a      | 250.00 0.0  |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                             |      |        |     |        |       |     |          | <b>0.00</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 80,770.46 |
| TOTAL (AO, CXL, CRT) : | 0.00      |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>80,770.46</b> |
|---------------------------------|------------------|

### BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 11-Dec.

MYL

MRI Securities without Trade Activity on 11-Dec.

PVH, 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)**