



Daily Compliance Activity Report

Trade Date: 10/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AFFX	B	20,000	6.37	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		APC	S	10,000	93.98	n/a	n/a	non-brg	4.0
f DOUGLAS R ROGERS	FID	BACPRD	S	1000	23.75	n/a	n/a	0.00	0.0
SEVEN LOCKS CAPITAL	025	BERY	B	10,000	18.71	n/a	n/a	300.00	3.0
BERYLSON CAPITAL	030	BONT	B	27,184	9.99	n/a	30-Sep	815.52	3.0
B BUCK CAPITAL MGMT		BURL	SS	10,000	26.38	n/a	n/a	non-brg	4.0
PROVIDENCE EQUITY CAP. MKTS.040	CBB		S	400,000	2.67	n/a	n/a	8,000.00	2.0
LONG POND	029	CBG	B	30,000	22.43	n/a	n/a	1,200.00	4.0
KEYGROUP/KGLT	040	CHK	SS	25,000	26.05	n/a	n/a	1,000.00	4.0
S.A.C. CAPITAL	044	CMI	SS	15,100	130.01	n/a	3-Oct	453.00	3.0
JET CAPITAL/CHRIS	041	CPWR	B	50,000	10.85	n/a	n/a	1,500.00	3.0
T. ROWE PRICE	243	CTXS	B	59,800	67.61	n/a	n/a	2,392.00	4.0
INTERVAL PARTNERS	033	DAN	SS	15,000	21.72	n/a	18-Sep	450.00	3.0
f SPENCER TODD CERNUS	FID	DDD	B	10	51.98	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DHI	B	25,000	18.08	n/a	n/a	non-brg	4.0
f YANAI A FRANK	FID	DIOD	B	450	23.34	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	S	15,000	13.58	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		DVN	S	35,000	58.82	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	DWA	S	10,000	28.21	n/a	n/a	400.00	4.0
FARALLON CAP MGMT	040	EMC	S	64,199	25.04	n/a	n/a	2,567.96	4.0
PRIMECAP MGMT	084	EMC	B	10,000	24.72	n/a	n/a	400.00	4.0
S.A.C. CAPITAL	044	EMR	B	10,000	63.19	n/a	n/a	300.00	3.0
f JASON ERIC COHEN	FID	ESSX	B	1000	3.07	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FB	B	5	5.47	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	21.03	n/a	n/a	400.00	4.0
f MITCHELL JAMES SPEIS	FID	FWM	B	300	23.17	n/a	n/a	0.00	0.0
CASTLEROCK	040	F	SS	45,436	16.60	n/a	8-Oct	1,817.44	4.0
f EDWARD W WHEELER	FID	GLW	B	10000	14.07	n/a	n/a	0.00	0.0
LATEEF MGMT	033	GLW	B	125	14.06	n/a	n/a	25.00	20.0
CAERUS GLOBAL	041	GM	B	25,000	34.85	n/a	8-Oct	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	B	5,193	34.87	n/a	8-Oct	155.79	3.0
f MICHAEL ALEXANDER SM	FID	GOOG	B	1	43.05	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	GOOG	B	5	43.05	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	GPX	B	80,000	8.22	n/a	n/a	2,400.00	3.0
GEORGE WEISS	278	GPS	S	86,000	39.29	n/a	n/a	2,580.00	3.0
NOKOMIS PARTNERS	031	HCOM	S	9,109	26.51	n/a	n/a	273.27	3.0
LONG POND	029	HHC	SS	20,000	112.14	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	HST	S	50,000	17.43	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		HTZ	B	24,000	22.10	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	033	HXL	B	134,300	38.69	n/a	n/a	5,372.00	4.0
LONG POND	029	JLL	B	30,000	83.87	n/a	n/a	1,200.00	4.0
MAPLE ROW	006	JNS	B	45,000	8.85	n/a	n/a	1,350.00	3.0
S.A.C. CAPITAL	044	JWN	B	10,000	55.78	n/a	4-Oct	300.00	3.0
B BUCK CAPITAL MGMT		KSS	C	130,000	51.29	n/a	30-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	C	29,600	51.77	n/a	30-Sep	non-brg	4.0
TIDE POINT CAPITAL	028	LEA	B	5,000	70.58	n/a	18-Sep	150.00	3.0
ENTRUST CAPITAL-N/C TO MSF CAP		040 LLY	B		27,783	48.08	n/a	n/a	1,389.15 5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	PRIMECAP MGMT	084	LLY	B	3,500	47.56	n/a	n/a	140.00	4.0	
	LONG POND	029	LL	SS	45,000	103.02	n/a	n/a	1,800.00	4.0	
	PROSPECTOR PARTNERS LLC	036	L	S	10,000	46.63	n/a	n/a	400.00	4.0	
	TIDE POINT CAPITAL	028	MGA	B	3,000	82.30	n/a	n/a	90.00	3.0	
	LATEEF MGMT	033	MSFT	S	100	32.92	n/a	n/a	28.00	28.0	
	AVENUE CAPITAL MGMT	070	MTOR	B	200,000	7.85	n/a	n/a	6,000.00	3.0	
	S.A.C. CAPITAL	044	M	B	10,000	42.47	30-Sep	30-Sep	300.00	3.0	
f	MICHAEL ALEXANDER SM	FID	NFLX	B	1	31.35	n/a	n/a	0.00	0.0	
f	MICHAEL ALEXANDER SM	FID	NFLX	B	5	31.38	n/a	n/a	0.00	0.0	
	PRIMECAP MGMT	084	NKTR	B	55,400	10.35	n/a	n/a	1,816.00	3.7	
	GUGGENHEIM GLOBAL TRADING (GGT) 251	NWSA		S	50,000	15.80		n/a	n/a	1,500.00	3.0
	COLUMBIA PARTNERS	028	OCN	S	23,937	52.58	n/a	n/a	718.11	3.0	
f	YANAI A FRANK	FID	ONNN	B	1450	7.01	n/a	n/a	0.00	0.0	
B	BUCK CAPITAL MGMT		PBPB	SS	20,000	33.53	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		PCLN	C	500	990.45	n/a	n/a	non-brg	4.0	
	HERRING CREEK CAPITAL MGMT LLC 040	PETM		SS	32,000	74.52	n/a	n/a	960.00	3.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	PLCE	SS	50,000	53.46	n/a	n/a	2,500.00	5.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	PLCM	S	79,241	10.77		n/a	2,377.23	3.0
ROVER CAPITAL PARTNERS	040	QQQ	SS	2,500	77.41	n/a	n/a	100.00	4.0
B BUCK CAPITAL MGMT		RDN	S	36,200	13.63	n/a	n/a	non-brg	4.0
PAULSON & CO INC	041	RFP	S	56,742	12.38	n/a	n/a	1,702.26	3.0
B BUCK CAPITAL MGMT		RH	B	10,000	59.85	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	RH	B	2,500	60.01	n/a	n/a	125.00	5.0
RAINIER INV MGMT	033	ROSE	S	62,000	55.81	n/a	n/a	2,480.00	4.0
SEVEN LOCKS CAPITAL	025	SATS	B	13,000	46.50	n/a	n/a	390.00	3.0
GEORGE WEISS	278	SBH	S	55,000	25.69	n/a	n/a	1,650.00	3.0
ARDSLEY PARTNERS	280	SLXP	S	70,000	68.59	n/a	3-Oct	3,500.00	5.0
f YANAI A FRANK	FID	SWKS	B	400	24.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWN	S	15,000	35.97	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		TBT	S	15	0.55	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TIBX	S	20,000	25.33		n/a	600.00	3.0
KORTRIGHT CAPITAL PARTNERS	025	TROX	SS	25,000	24.22	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	TRV	S	100	83.26	n/a	n/a	30.00	30.0
WOOSTER CAPITAL	044	TRW	B	15,000	71.28	n/a	n/a	750.00	5.0
f NICOLAS EVAN PAKLER	FID	TSLA	B	25	177.95	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	UOPIX	B	505	49.52	n/a	n/a	0.00	0.0
MFP INVESTORS	085	VNO	B	34,668	83.86	n/a	n/a	1,733.40	5.0
B BUCK CAPITAL MGMT		WSM	C	30,400	53.95	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		WWW	S	2	0.71	n/a	n/a	0.00	0.0
AMICI CAPITAL N/C	044	XLF	SS	25,000	19.65	n/a	n/a	1,000.00	4.0
AMICI CAPITAL N/C	044	XLY	SS	307,000	59.34	n/a	n/a	12,280.00	4.0
LIONEYE CAPITAL	040	XRTX	B	20,000	10.81	n/a	n/a	1,000.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	S	25,000	33.00		n/a	n/a	750.00 3.0
BTG PACTUAL	040	YUM	B	10,000	66.75	8-Oct	9-Sep	300.00	3.0
BTG PACTUAL	040	YUM	SS	15,000	71.56	8-Oct	9-Sep	450.00	3.0
CASTLEROCK	040	YUM	B	16,722	68.32	8-Oct	9-Sep	668.88	4.0
TOTAL (Trade Date):								91,580.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/07	CASTLEROCK	040	YUM	SS	5,000	71.38-2013-10-08-2013-09-09	100.00	2.0
AO,CXL	10/07	CASTLEROCK	040	YUM	SS	5,000	71.38-2013-10-08-2013-09-09	200.00	0.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	91,580.01
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	91,480.01
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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 8-Oct.

YUM

MRI Securities without Trade Activity on 8-Oct.

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)