



# Daily Compliance Activity Report

Trade Date: 11/18/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	AEGR	S	2,501	71.08	n/a	n/a	100.04	4.0
FORWARD MGMT	033	AFCE	S	5,000	42.85	n/a	n/a	200.00	4.0
RIDGECREST INV MGMT LLC	028	ALU	S	15,000	4.03	n/a	n/a	300.00	2.0
PALESTRA	040	ARCP	S	185,400	13.10	n/a	n/a	5,562.00	3.0
RIVERLOFT CAPITAL	044	BAC	B	100,000	15.13	n/a	15-Nov	2,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>17,000</b>	<b>58.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	BX	B	10,000	27.69	n/a	n/a	400.00	4.0
CASTLEROCK	040	CAKE	B	2,500	48.08	n/a	30-Oct	50.00	2.0
MOORE CAPITAL	257	CAT	C	25,000	84.90	n/a	n/a	750.00	3.0
J. GOLDMAN	028	CCK	B	21,000	43.93	n/a	n/a	840.00	4.0
FORWARD MGMT	033	CDE	S	10,000	11.11	n/a	n/a	400.00	4.0
HERRING CREEK CAPITAL	040	COF	B	18,929	69.94	n/a	15-Nov	567.87	3.0
SENATOR INVESTMENT GROUP	287	CPRT	B	200,000	32.91	n/a	n/a	6,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>25,000</b>	<b>1.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARK MEGALLI	FID	CRMB	S	5000	1.01	n/a	n/a	0.00	0.0
	BRONSON POINT	036	CX	B	50,000	10.77	n/a	n/a	1,500.00	3.0
f	SPENCER TODD CERNUS	FID	DDD	S	10	83.22	n/a	n/a	0.00	0.0
	FORWARD MGMT	033	EDR	S	20,000	8.77	n/a	n/a	800.00	4.0
	FORWARD MGMT	033	ENPH	B	20,000	7.66	n/a	n/a	800.00	4.0
	NEWLAND CAPITAL MGT	025	FCX	SS	15,000	36.71	n/a	n/a	600.00	4.0
f	SARA J SCHWARZWALDER	FID	FFRHX	B	1602	9.99	n/a	n/a	0.00	0.0
	MOORE CAPITAL	257	F	C	100,000	17.13	n/a	18-Nov	3,000.00	3.0
B	BUCK CAPITAL MGMT		GES	C	50,000	34.32	n/a	n/a	non-brg	4.0
	COUGAR TRADING	044	GES	SS	5,000	34.53	n/a	n/a	250.00	5.0
	SIGMA CAPITAL ASSOCIATES	041	GES	B	100,010	34.54	n/a	n/a	3,000.30	3.0
	FORTRESS INVESTMENT (US)	036	GM	B	90,000	38.55	n/a	18-Nov	3,600.00	4.0
	MOORE CAPITAL	257	GM	S	50,000	38.62	n/a	18-Nov	1,500.00	3.0
	TROUBH PART	070	GM	S	25,000	38.63	n/a	18-Nov	1,250.00	5.0
	FORWARD MGMT	033	GSIG	B	10,000	10.73	n/a	n/a	400.00	4.0
	INTERVAL PARTNERS	033	HD	SS	27,500	79.76	n/a	n/a	825.00	3.0
	LOCUST WOOD CAPITAL MGMT	044	HES	S	21,150	81.80	n/a	n/a	846.00	4.0
	LISTED ERR	099	HES	B	12,541	81.76	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	HES	S	12,541	81.77	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	6	0.57	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	6	0.57	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	7	0.56	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	HUBG	S	85,000	36.94	n/a	n/a	3,400.00	4.0
STELLIAM INV ADV	086	IBM	SS	30,000	184.45	n/a	n/a	1,200.00	4.0
RIDGECREST INV MGMT LLC	028	IDCC	B	1,300	32.99	n/a	n/a	52.00	4.0
FORTRESS INVESTMENT (US)	036	IP	SS	90,000	45.43	n/a	18-Nov	3,600.00	4.0
LISTED ERR	099	IP	B	100	45.36	n/a	18-Nov	0.00	0.0
LISTED ERR	099	IP	S	100	45.34	n/a	18-Nov	0.00	0.0
FRED ALGER MGMT	300	JPM	B	97,120	55.58	n/a	18-Nov	3,496.32	4.0
TROUBH PART	070	JPM	S	10,000	55.82	n/a	18-Nov	500.00	5.0
DAVIDSON KEMPNER ADVISOR	281	JWN	C	25,000	62.44	15-Nov	15-Nov	1,250.00	5.0
FORWARD MGMT	033	KOG	S	30,000	11.63	n/a	n/a	1,200.00	4.0
FORWARD MGMT	033	LPI	S	4,900	28.18	n/a	n/a	196.00	4.0
STELLIAM INV ADV	086	MU	S	45,000	19.73	n/a	n/a	1,800.00	4.0
ROSEDALE CAPITAL	046	NEM	B	10,000	27.10	n/a	n/a	400.00	4.0
FORWARD MGMT	033	NPTN	S	30,000	5.65	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	OI	S	17,900	33.34	n/a	n/a	644.40	4.0
FORWARD MGMT	033	PAY	B	7,500	24.34	n/a	n/a	300.00	4.0
CADIAN CAPITAL	041	PETM	C	26,500	74.62	n/a	n/a	795.00	3.0
FORWARD MGMT	033	PPS	S	5,000	44.09	n/a	n/a	200.00	4.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>QUASX</b>	<b>B</b>	<b>9</b>	<b>53.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	REGI	B	5,000	11.72	n/a	n/a	200.00	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>RL</b>	<b>B</b>	<b>50</b>	<b>174.83</b>	<b>n/a</b>	<b>7-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>SAVE</b>	<b>S</b>	<b>10</b>	<b>1.50</b>	<b>n/a</b>	<b>4-Nov</b>	<b>0.00</b>	<b>0.0</b>
FORWARD MGMT	033	SHOO	B	5,000	38.49	n/a	n/a	200.00	4.0
J. GOLDMAN	028	TAM	SS	9,500	20.69	n/a	n/a	380.00	4.0
DAVIDSON KEMPNER ADVISOR	281	TGT	C	25,000	66.40	n/a	14-Nov	1,250.00	5.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>TSLA</b>	<b>B</b>	<b>50</b>	<b>125.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TSLA</b>	<b>B</b>	<b>1</b>	<b>6.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHARTERBRIDGE CAPITAL	025	TTS	B	30,000	16.08	n/a	n/a	900.00	3.0
CHARTERBRIDGE CAPITAL	025	TWTR	SS	20,000	43.31	n/a	n/a	600.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>30,000</b>	<b>36.61</b>	<b>25-Oct</b>	<b>8-Nov</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	FRANCIS MICHAEL MCCA	FID	UAL	B	200	37.06	25-Oct	8-Nov	0.00	0.0
	FORWARD MGMT	033	UMPQ	B	15,000	17.16	n/a	n/a	600.00	4.0
	MACELLUM CAPITAL	086	URBN	B	58,000	39.82	n/a	n/a	1,740.00	3.0
	FORTRESS INVESTMENT (US)	036	WHR	SS	27,000	150.79	n/a	n/a	1,080.00	4.0
	TIDE POINT CAPITAL	028	WY	B	15,000	29.64	25-Oct	15-Nov	450.00	3.0
	FORWARD MGMT	033	XONE	B	3,500	62.37	n/a	n/a	140.00	4.0
TOTAL (Trade Date):									63,314.93	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/15	PERELLA WEINBERG	085	CLX	C	29,674	93.30-2013-11-14	n/a	1483.70 5.0
AO,CXL	11/15	PERELLA WEINBERG	085	CLX	C	29,674	93.30-2013-11-14	n/a	1483.70 0.0
AO,CRT	11/15	HARVEST MGMT	029	DLTR	B	12,000	59.95	n/a n/a	480.00 0.0
AO,CXL	11/15	HARVEST MGMT	029	DLTR	B	12,000	59.95	n/a n/a	600.00 0.0
AO,CRT	11/15	HARVEST MGMT	029	WMT	SS	9,000	79.07-2013-11-15-2013-11-15		360.00 0.0
AO,CXL	11/15	HARVEST MGMT	029	WMT	SS	9,000	79.07-2013-11-15-2013-11-15		450.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-210.00</b>
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TOTAL (Trade Date) :	63,314.93
TOTAL (AO, CXL, CRT) :	-210.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>63,104.93</b>
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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 18-Nov.  
NONE

MRI Securities without Trade Activity on 18-Nov.  
SLM, ABFS, EL

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)**