



Daily Compliance Activity Report

Trade Date: 10/14/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	ACOR	SS	30,544	33.40	n/a	n/a	916.32	3.0
f YANAI A FRANK	FID	ADSK	S	1000	40.96	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	AFFX	B	5,000	6.48	n/a	n/a	150.00	3.0
IONIC CAPITAL MANAGEMENT	041	AIZ	SS	33,000	57.88	n/a	n/a	990.00	3.0
FRED ALGER MGMT	300	ANN	S	225	34.30	n/a	n/a	8.10	4.0
HARVEST MGMT (JMP)	029	BBBY	B	10,000	77.24	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	BIIB	B	1000	235.25	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CACH	S	2385	5.60	n/a	n/a	0.00	0.0
OZ MGMT	040	CAKE	SS	25,000	43.38	n/a	11-Oct	750.00	3.0
BALYASNY ASSET MGMT	044	CASY	SS	25,000	72.67	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		CONN	B	55,000	60.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CRMB	S	300	1.00	n/a	n/a	non-brg	1.0
SANDLER O'NEILL ASSET	031	DFS	S	30,000	52.15	n/a	11-Oct	1,500.00	5.0
B BUCK CAPITAL MGMT		DHI	B	25,000	18.17	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	DPZ	S	44,590	68.34	n/a	11-Oct	1,605.24	4.0
ADAGE CAPITAL MGMT	030	DRC	B	496	61.80	n/a	n/a	14.88	3.0
BTG PACTUAL	040	DRI	B	2,000	50.22	23-Sep	11-Oct	60.00	3.0
FRED ALGER MGMT	300	DSW	B	210	84.77	n/a	n/a	7.56	4.0
f MARC PAUL LUCHANSKY	FID	FNYTX	B	550	11.11	n/a	n/a	0.00	0.0
Õ Jack Chernus		FOE	B	2000	10.07	n/a	n/a	0.00	0.0
Õ Jack Chernus		FOE	B	500	10.07	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FRAN	S	82,410	17.07	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FSTFX	S	573	10.66	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	GILD	B	4000	62.62	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	GOOG	B	2,065	870.75	n/a	n/a	74.34	4.0
CR INTRINIC INVESTMENT	044	GT	B	25,000	22.60	n/a	n/a	750.00	3.0
MERRILL ASSET/BLACKROCK	085	HIG	S	16,900	32.85	n/a	n/a	676.00	4.0
f JASON ERIC COHEN	FID	HLF	B	150	63.77	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	HPQ	S	82,700	22.53	n/a	n/a	3,308.00	4.0
ß BUCK CAPITAL MGMT		HTZ	S	70,000	23.24	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	IJR	C	16,717	101.51	n/a	n/a	835.85	5.0
f YANAI A FRANK	FID	INTC	S	1320	23.29	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	INTC	S	500	23.29	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	IWM	SS	15,700	108.00	n/a	n/a	785.00	5.0
B BUCK CAPITAL MGMT		JBLU	S	75,000	6.96	n/a	11-Oct	non-brg	3.0
SUFFOLK CAPITAL MGMT	040	JBLU	S	50,000	6.92	n/a	11-Oct	1,500.00	3.0
SMITH MGMT/ALDEN GLOBAL		029 JCP		SS	500,000	7.90	27-Sep	14-Oct	15,000.00 3.0
TIDE POINT CAPITAL	028	LEA	B	10,000	73.28	n/a	18-Sep	500.00	5.0
f MANNY I KORMAN	FID	LGF	B	5000	35.00	n/a	n/a	0.00	0.0
IVORY CAPITAL	084	LINTA	S	100,000	25.93	n/a	n/a	5,000.00	5.0
RIDGECREST INV MGMT LLC	028	LPX	B	5,000	17.70	n/a	11-Oct	200.00	4.0
B BUCK CAPITAL MGMT		MCD	C	50,000	94.74	n/a	11-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		MCD	SS	50,000	94.53	n/a	11-Oct	non-brg	4.0
BALYASNY ASSET MGMT	044	MUSA	SS	25,000	41.28	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		MVRX	SS	100,000	300.60	n/a	n/a	non-brg	24.0
GABELLI FUNDS	025	M	B	25,000	42.56	30-Sep	30-Sep	750.00	3.0
LATEEF MGMT	033	M	B	4,500	42.60	30-Sep	30-Sep	360.00	8.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	NCLH	S	45,505	30.31	n/a	n/a	1,638.18	4.0
HOLLIS CAPITAL	033	NVDA	S	5,000	15.46	n/a	n/a	250.00	5.0
PRIMECAP MGMT	084	ORCL	S	375,087	33.31	n/a	n/a	15,003.48	4.0
FRED ALGER MGMT	300	PBPB	S	735	26.23	n/a	n/a	26.46	4.0
BTG PACTUAL	040	PNRA	B	5,000	159.41	n/a	11-Oct	150.00	3.0
IONIC CAPITAL MANAGEMENT	041	PRU	B	21,000	80.27	n/a	n/a	630.00	3.0
PRIMECAP MGMT	084	QGEN	B	5,000	20.78	n/a	n/a	200.00	4.0
BADGE CAPITAL	030	RGC	B	2,000	18.58	n/a	n/a	70.00	4.0
B BUCK CAPITAL MGMT		ROST	B	5,000	73.01	n/a	30-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		SBUX	B	20,000	77.61	30-Sep	11-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	20,000	72.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SMG	C	40,300	55.72	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	SNDK	B	29	61.95	n/a	n/a	1.16	4.0
f DAVID GEORGE BUCK	FID	SPY	S	10	0.64	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	STSI	B	1000	2.50	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	SYMC	S	415,575	25.17	n/a	n/a	16,623.00	4.0
MSF CAPITAL (ENTRUST)	040	TFX	S	16,211	84.42	n/a	n/a	810.55	5.0
B BUCK CAPITAL MGMT		TJX	B	10,000	56.14	n/a	30-Sep	non-brg	4.0
MERRILL ASSET/BLACKROCK	085	TRV	S	9,700	84.52	n/a	n/a	388.00	4.0
B BUCK CAPITAL MGMT		URBN	S	50,000	35.74	n/a	n/a	non-brg	4.0
RIDGECREST INV MGMT LLC	028	USG	S	5,000	27.31	n/a	n/a	200.00	4.0
MARCATO CAPITAL MGMT.	029	VXX	B	1,000,000	15.12	n/a	n/a	40,000.00	4.0
B BUCK CAPITAL MGMT		WGO	S	33,770	26.89	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	WTSL	B	750	3.86	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	WTSL	B	750	3.86	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	151,500	81.54	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								114,632.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/11	S.A.C. CAPITAL	044	VVUS	SS	15,000	11.19	n/a	n/a	3450.00 0.0
AO,CRT	10/11	S.A.C. CAPITAL	044	VVUS	SS	15,000	11.19	n/a	n/a	450.00 3.0

TOTAL (AO, CXL, CRT) :	-3,000.00
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TOTAL (Trade Date) :	114,632.12
TOTAL (AO, CXL, CRT) :	-3,000.00

TOTAL (RUN DATE) / NFS:	111,632.12
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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 14-Oct.
NONE

MRI Securities without Trade Activity on 14-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)