



# Daily Compliance Activity Report

Trade Date: 10/24/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	AAPL	B	20,000	531.34	n/a	n/a	600.00	3.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>528.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>12</b>	<b>526.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	AGG	S	150	107.96	n/a	n/a	7.50	5.0
LEVIN CAPITAL STRATEGIES	041	AIG	B	10,000	51.81	n/a	n/a	300.00	3.0
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>AMRI</b>	<b>B</b>	<b>2000</b>	<b>13.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>APP</b>	<b>S</b>	<b>5000</b>	<b>1.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	ATML	S	24,058	6.72	n/a	n/a	721.74	3.0
KORTRIGHT CAPITAL PARTNERS	025	AWI	S	20,000	54.55	n/a	n/a	600.00	3.0
1798 CAP/LOMBARD ASSET	040	AXL	S	20,000	18.77	n/a	24-Oct	1,000.00	5.0
ROSEDALE CAPITAL	046	AXL	B	10,000	18.23	n/a	24-Oct	400.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>C</b>	<b>10,000</b>	<b>45.32</b>	<b>n/a</b>	<b>24-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>C</b>	<b>50,000</b>	<b>44.76</b>	<b>n/a</b>	<b>24-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CASTLEROCK	040	CAKE	SS	15,847	44.76	n/a	24-Oct	633.88	4.0
CORTEX CAPITAL	031	CLX	B	10,000	87.94	n/a	n/a	300.00	3.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>CMG</b>	<b>S</b>	<b>12</b>	<b>519.11</b>	<b>18-Oct</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>COF</b>	<b>B</b>	<b>75</b>	<b>70.67</b>	<b>15-Oct</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	COLE	B	100,000	14.20	n/a	n/a	3,000.00	3.0
JET CAPITAL/CHRIS	041	CPWR	B	100,000	10.60	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	CRI	SS	2,700	71.61	n/a	n/a	81.00	3.0
COLUMBUS CIRCLE	036	CSGP	S	569	171.82	n/a	n/a	22.76	4.0
KINGDON ASSET MGMT	041	DAL	B	50,000	26.35	23-Oct	23-Oct	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	DAL	S	10,000	26.26	23-Oct	23-Oct	300.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>DAL</b>	<b>B</b>	<b>300</b>	<b>26.05</b>	<b>23-Oct</b>	<b>23-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>25,000</b>	<b>65.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DOW</b>	<b>S</b>	<b>2000</b>	<b>39.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>B</b>	<b>10,000</b>	<b>83.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TYVOR CAPITAL LLC	031	DSW	SS	10,000	83.15	n/a	n/a	300.00	3.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>ESSX</b>	<b>B</b>	<b>1000</b>	<b>3.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	EXPD	S	5,000	46.20	n/a	11-Oct	150.00	3.0
SANDLER CAPITAL	028	FBHS	S	125,000	42.65	n/a	n/a	5,000.00	4.0
TOCQUEVILLE	046	FCS	B	150,000	12.26	n/a	n/a	7,500.00	5.0
1798 CAP/LOMBARD ASSET	040	FLIR	SS	32,000	28.51	n/a	n/a	1,600.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>SS</b>	<b>20,000</b>	<b>17.85</b>	<b>n/a</b>	<b>24-Oct</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>F</b>	<b>SS</b>	<b>40,000</b>	<b>17.82</b>	<b>n/a</b>	<b>24-Oct</b>	<b>non-brg 4.0</b>
	COLUMBUS CIRCLE	036	GPX	B	3,300	59.54	n/a	n/a	132.00 4.0
	MACELLUM CAPITAL	086	GPS	B	28,000	37.00	n/a	n/a	840.00 3.0
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>10</b>	<b>2.85</b>	<b>n/a</b>	<b>18-Oct</b>	<b>0.00 0.0</b>
	NOKOMIS PARTNERS	031	HCOM	S	1,100	27.03	n/a	n/a	33.00 3.0
	NOMURA/ANGEL LANE PRINCIPAL	040	HD	B	50,000	76.27	n/a	n/a	1,500.00 3.0
	ROVER CAPITAL PARTNERS	040	HOT	SS	2,000	73.21	n/a	n/a	80.00 4.0
	NEUBERGER BERMAN	036	HTZ	B	110,000	23.83	n/a	n/a	4,400.00 4.0
	LATEEF MGMT	033	JNJ	S	1,000	92.42	n/a	n/a	100.00 10.0
	SCOPUS FUND	041	LAD	B	18,000	64.44	n/a	n/a	720.00 4.0
	SANDLER O'NEILL ASSET	031	LAZ	B	400	38.60	24-Oct	24-Oct	20.00 5.0
	IRIDIAN ASSET MGMT.	036	LDOS	B	34,498	47.48	n/a	n/a	1,724.90 5.0
	RIDGECREST INV MGMT LLC	028	LEA	SS	5,000	75.63	n/a	21-Oct	200.00 4.0
	TUDOR INVESTORS	028	LEA	S	10,000	75.90	n/a	21-Oct	300.00 3.0
	VERITION	028	LEA	SS	2,500	76.27	n/a	21-Oct	75.00 3.0
	TUDOR INVESTORS	028	LII	S	10,000	78.56	n/a	n/a	300.00 3.0
	IRIDIAN ASSET MGMT.	036	LYB	B	72,200	78.04	n/a	n/a	3,610.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	MD	S	41,425	105.59	n/a	n/a	1,657.00	4.0
BARON ASSET MGMT*	006	MLNX	B	3,000	36.34	n/a	n/a	120.00	4.0
MACELLUM CAPITAL	086	MNRO	B	23,000	46.70	n/a	n/a	690.00	3.0
LATEEF MGMT	033	M	B	500	44.63	30-Sep	30-Sep	60.00	12.0
FIRST NEW YORK	086	NOK	B	20,000	7.16	n/a	n/a	800.00	4.0
BASSWOOD PARTNERS	267	NTRS	B	27,826	55.95	n/a	17-Oct	1,113.04	4.0
LEVIN CAPITAL STRATEGIES	041	ORCL	S	15,000	33.19	n/a	n/a	450.00	3.0
TUDOR INVESTORS	028	PCL	B	7,000	49.45	n/a	23-Oct	210.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PINC</b>	<b>B</b>	<b>2000</b>	<b>31.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	PRF	S	100	78.72	n/a	n/a	5.00	5.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>PRKR</b>	<b>S</b>	<b>4000</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	PWR	B	25,000	29.28	n/a	n/a	750.00	3.0
ASCEND PARTNERS	033	RBA	C	102,435	19.39	n/a	n/a	3,073.05	3.0
COUGAR TRADING	044	RYN	B	15,000	56.23	n/a	n/a	750.00	5.0
COUGAR TRADING	044	RYN	S	25,000	57.14	n/a	n/a	1,250.00	5.0
JSRG CAPITAL PARTNERS LP	084	RYN	S	12,500	55.21	n/a	n/a	375.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KADE CAPITAL LLC	028	RYN	B	5,000	56.55	n/a	n/a	250.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RYN	S	20,000	56.21	n/a	n/a	600.00	3.0
UBS OCONNOR	031	RYN	S	22,500	56.27	n/a	n/a	675.00	3.0
BROADARCH CAP/OLD NEWC	006	R	B	2,000	64.97	23-Oct	23-Oct	80.00	4.0
SOROS	036	SAIA	C	16,000	34.17	n/a	n/a	640.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>SAVE</b>	<b>B</b>	<b>8000</b>	<b>42.40</b>	<b>18-Oct</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>
MOORE CAPITAL	257	SPY	B	150,000	175.36	n/a	n/a	4,500.00	3.0
SOROS	036	SPY	SS	20,555	175.04	n/a	n/a	616.65	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>40,000</b>	<b>20.45</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SSI</b>	<b>S</b>	<b>250</b>	<b>20.27</b>	<b>30-Sep</b>	<b>30-Sep</b>	<b>0.00</b>	<b>0.0</b>
MAIRS AND POWER INV	030	TGT	B	10,000	64.35	n/a	n/a	500.00	5.0
TUDOR INVESTORS	028	TKR	S	10,000	54.09	n/a	n/a	300.00	3.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>TSLA</b>	<b>S</b>	<b>100</b>	<b>170.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	TYC	S	199,240	36.24	n/a	n/a	9,962.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>63,000</b>	<b>31.58</b>	<b>27-Sep</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	UAL	S	50,000	31.33	27-Sep	18-Oct	2,000.00	4.0
TYVOR CAPITAL LLC	031	UA	B	5,060	78.81	n/a	24-Oct	151.80	3.0
CSL ASSOCIATES	006	VNTV	B	6,000	26.65	n/a	24-Oct	240.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSL ASSOCIATES	006	VNTV	S	6,000	26.70	n/a	24-Oct	240.00	4.0
MERRILL ASSET/BLACKROCK	085	V	S	11,300	202.72	25-Sep	14-Oct	565.00	5.0
B BUCK CAPITAL MGMT		WAG	B	40,000	59.05	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL	040	WFT	B	34,800	16.11	n/a	n/a	1,044.00	3.0
f DAVID GEORGE BUCK	FID	WLP	S	15	1.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WSM	B	50,000	53.31	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	WTSL	B	2000	3.15	n/a	n/a	0.00	0.0
COHE & STEERS	041	WY	S	206,446	30.29	n/a	23-Oct	8,257.84	4.0
TUDOR INVESTORS	028	WY	S	15,000	30.34	n/a	23-Oct	450.00	3.0
LEVIN CAPITAL STRATEGIES	041	XLP	SS	15,000	41.93	n/a	n/a	450.00	3.0
BLUE MOUNTAIN CAPITAL	087	XRX	B	131,250	9.68	n/a	n/a	6,562.50	5.0
WADDELL AND REED	047	ZMH	B	1,300	85.48	n/a	n/a	52.00	4.0
TOTAL (Trade Date) :								90,991.66	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/23	DAVIDSON KEMPNER FRAN	028	IYR	B	7,749	67.46	n/a	n/a	387.45	0.0
AO,CRT	10/23	GLG PARTNERS	280	IYR	B	7,749	67.46	n/a	n/a	387.45	0.0
AO,CRT	10/23	SANDLER O'NEILL ASSET	031	LAZ	S	3,274	38.11-2013-10-24-2013-10-24			163.70	5.0
AO,CXL	10/23	SANDLER O'NEILL ASSET	031	LAZ	S	3,274	38.11-2013-10-24-2013-10-24			163.70	0.0
AO,CRT	10/21	CASTLEROCK	040	MCD	S	5,000	93.54-2013-10-22-2013-10-22			100.00	2.0
AO,CXL	10/21	CASTLEROCK	040	MCD	S	5,000	93.54-2013-10-22-2013-10-22			200.00	0.0

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**TOTAL (AO, CXL, CRT) :****-100.00**

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**TOTAL (Trade Date) :****90,991.66****TOTAL (AO, CXL, CRT) :****-100.00**

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**TOTAL (RUN DATE) / NFS:****90,891.66**

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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 24-Oct.

LAZ

MRI Securities without Trade Activity on 24-Oct.

LCC, NSC, CP

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)**