



Daily Compliance Activity Report

Trade Date: 11/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	AA	S	55,875	9.67	n/a	n/a	2,235.00	4.0
f CHRISTOPHER ROBERT C	FID	ACW	S	500	3.16	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	AET	S	1,300	63.02	n/a	n/a	52.00	4.0
EPOCH INV MGMT	030	AIG	S	100,000	48.36	n/a	n/a	3,000.00	3.0
SYMPHONY ASSET	033	AME	B	4,473	47.86	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	AMG	B	568	194.45	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	APC	S	30,000	92.68	n/a	n/a	1,200.00	4.0
FRED ALGER MGMT	300	APO	S	17,850	34.01	n/a	n/a	642.60	4.0
DC CAPITAL	044	ATI	S	12,800	33.50	n/a	23-Oct	512.00	4.0
BASSWOOD PARTNERS	267	BAC	B	18,465	13.98	n/a	5-Nov	738.60	4.0
FIFTH THIRD BANK/FREEMAN	047	BAC	B	7,500	13.95	n/a	5-Nov	375.00	5.0
LATEEF MGMT	033	BBT	B	300	33.75	n/a	n/a	30.00	10.0
B BUCK CAPITAL MGMT		BIG	C	67,400	36.74	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	BKU	S	18,140	30.73	n/a	n/a	544.20	3.0
MAPLE ROW	006	BTU	B	1,500	20.55	n/a	n/a	45.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	BX	B	200	27.50	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	CBL	S	5,671	19.44	n/a	n/a	0.00	0.0
KEY ASSET MGMT/VICTORY	220	CHK	S	262,840	28.25	n/a	n/a	10,513.60	4.0
EPOCH INV MGMT	030	CIT	S	2,200	47.62	n/a	22-Oct	66.00	3.0
f EDWARD W WHEELER	FID	CVGI	B	5000	7.14	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	C	B	1,825	48.41	n/a	5-Nov	73.00	4.0
EPOCH INV MGMT	030	C	S	4,710	48.49	n/a	5-Nov	141.30	3.0
LATEEF MGMT	033	DE	B	525	81.88	n/a	n/a	94.50	18.0
f JOHN MICHAEL ZOLIDIS	FID	DFZ	S	500	18.47	n/a	n/a	0.00	0.0
PENNANT CAP MGMT	250	DVN	S	44,200	63.86	n/a	n/a	884.00	2.0
FRED ALGER MGMT	300	FLTX	B	1,195	31.30	n/a	n/a	43.02	4.0
FIFTH THIRD BANK/FREEMAN	047	FTI	B	6,000	49.89	n/a	n/a	300.00	5.0
MOORE CAPITAL	257	F	C	50,000	17.00	n/a	4-Nov	1,500.00	3.0
FORWARD MGMT	033	GIMO	S	5,000	28.47	n/a	n/a	200.00	4.0
f CHRISTOPHER ROBERT C	FID	GLRE	S	300	30.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GME	B	30,000	56.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	GPS	B	18,759	37.38	n/a	n/a	562.77	3.0
LATEEF MGMT	033	HPQ	S	625	25.48	n/a	n/a	62.50	10.0
B BUCK CAPITAL MGMT		HTZ 11 P22	B	3,800	0.32	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		HTZ 11 P22	S	1,900	1.74	n/a	n/a	non-brg	300.0
f EDWARD W WHEELER	FID	HWCC	S	19800	13.85	n/a	n/a	0.00	0.0
FORWARD MGMT	033	INVN	S	20,000	16.52	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	IOC	S	50	69.34	n/a	n/a	0.00	0.0
BRONSON POINT	036	IP	B	50,000	44.24	n/a	25-Oct	1,500.00	3.0
B BUCK CAPITAL MGMT		IP	B	12,000	44.28	n/a	25-Oct	non-brg	4.0
ROSEDALE CAPITAL	046	IP	B	14,000	43.76	n/a	25-Oct	560.00	4.0
SYMPHONY ASSET	033	IVZ	S	7,514	32.78	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	IWB	S	30,520	98.64	n/a	n/a	1,220.80	4.0
MAPLE ROW	006	IWM	B	10,000	109.79	n/a	n/a	300.00	3.0
WEXFORD CAPITAL	284	IWM	SS	46,000	109.54	n/a	n/a	1,380.00	3.0
LISTED ERR	099	IWN	B	600	94.87	n/a	n/a	0.00	0.0
LISTED ERR	099	IWN	SS	600	94.87	n/a	n/a	0.00	0.0
f NILSA VAZQUEZ	FID	JBLU	B	3000	7.52	n/a	4-Nov	0.00	0.0
LATEEF MGMT	033	JNJ	S	500	92.78	n/a	n/a	50.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALICE BEEBE LONGLEY	FID	JRO	B	6600	12.10	n/a	n/a	0.00	0.0
MAPLE ROW	006	KLAC	B	1,500	64.08	n/a	n/a	45.00	3.0
SCOPUS FUND	041	LAD	B	14,000	64.70	n/a	n/a	560.00	4.0
JSRG CAPITAL PARTNERS LP	084	LCC	B	10,000	22.50	24-Oct	4-Nov	500.00	5.0
ESSENCIAL CAPITAL	031	LEA	S	5,000	78.82	28-Oct	28-Oct	150.00	3.0
MAPLE ROW	006	LIN	B	2,500	24.68	n/a	n/a	75.00	3.0
B BUCK CAPITAL MGMT		LPNT	B	15,000	51.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LPNT	B	5,000	51.13	n/a	n/a	non-brg	0.8
BRONSON POINT	036	LPX	B	100,000	16.25	n/a	1-Nov	3,000.00	3.0
B BUCK CAPITAL MGMT		LPX	B	30,000	16.25	n/a	1-Nov	non-brg	4.0
COOPER CREEK PART	028	LPX	B	20,000	16.20	n/a	1-Nov	800.00	4.0
CR INTRINIC INVESTMENT	044	LPX	B	50,000	16.00	n/a	1-Nov	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	16.07	n/a	1-Nov	3,750.00	5.0
NEWLAND CAPITAL MGT	025	LPX	B	15,000	16.24	n/a	1-Nov	600.00	4.0
ADAGE CAPITAL MGMT	030	LULU	B	18,140	69.31	n/a	5-Nov	544.20	3.0
BRONSON POINT	036	LULU	B	68,000	69.53	n/a	5-Nov	2,040.00	3.0
HERRING CREEK CAPITAL	040	LULU	C	51,900	69.52	n/a	5-Nov	1,557.00	3.0
BARON ASSET MGMT*	006	MASI	S	10,500	26.52	n/a	n/a	315.00	3.0
EPOCH INV MGMT	030	MCK	S	520	158.95	n/a	n/a	15.60	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	MEOH	S	25,250	59.08	n/a	n/a	1,010.00	4.0
MAPLE ROW	006	MKSI	B	3,000	29.28	n/a	n/a	90.00	3.0
LATEEF MGMT	033	MRK	B	650	45.44	n/a	n/a	80.00	15.0
LATEEF MGMT	033	MSFT	S	750	36.55	n/a	n/a	75.00	10.0
B BUCK CAPITAL MGMT		NCLH	S	20,000	32.40	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		NCLH	S	30,000	32.01	n/a	n/a	non-brg	4.0
FORWARD MGMT	033	NILE	B	5,000	41.67	n/a	n/a	200.00	4.0
SYMPHONY ASSET	033	NSM	B	3,605	50.27	n/a	n/a	0.00	0.0
LATEEF MGMT	033	OLN	B	300	23.28	n/a	n/a	30.00	10.0
SYMPHONY ASSET	033	PFJ	B	5,740	47.70	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	PXD	S	22,960	211.11	n/a	n/a	826.56	4.0
FRED ALGER MGMT	300	QCOR	B	330	62.50	n/a	n/a	11.88	4.0
FORWARD MGMT	033	QLGC	B	30,000	12.32	n/a	n/a	1,200.00	4.0
FIRST NEW YORK	086	RAD	B	20,000	5.38	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		RDN	S	67,700	14.82	n/a	n/a	non-brg	4.0
INTERVAL PARTNERS	033	ROST	SS	20,000	77.51	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	SCSC	S	4000	39.87	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SGGHD	B	500	11.01	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	SKT	S	2,603	34.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPN	S	18,000	28.04	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	SUSQ	S	21,788	11.78	n/a	n/a	871.52	4.0
WEXFORD CAPITAL	284	SVU	B	60,749	7.15	n/a	n/a	1,822.47	3.0
ADAGE CAPITAL MGMT	030	SWY	B	64,300	35.16	n/a	n/a	1,929.00	3.0
f CHRISTOPHER ROBERT C	FID	TEU	S	900	3.88	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	TGT	B	109,700	64.88	n/a	31-Oct	3,291.00	3.0
RATAN CAPITAL MGMT LP	041	VRX	B	50,000	109.49	n/a	n/a	1,500.00	3.0
S.A.C. CAPITAL	044	WM	SS	15,000	43.73	n/a	n/a	450.00	3.0
LATEEF MGMT	033	WY	B	800	29.66	25-Oct	5-Nov	80.00	10.0
MAPLE ROW	006	YGE	S	4,800	7.03	n/a	n/a	144.00	3.0
f CHRISTOPHER ROBERT C	FID	ZNGA	S	1000	3.74	n/a	n/a	0.00	0.0
PARKWEST	084	Z	B	40,000	81.51	n/a	n/a	1,600.00	4.0

TOTAL (Trade Date):

61,689.12

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/01	SYMPHONY ASSET	033	BRKR	B	26,460	19.34	n/a	n/a	793.80	0.0
AO,CXL	11/01	SYMPHONY ASSET	033	BRKR	B	26,460	19.34	n/a	n/a	793.80	0.0
AO,CRT	11/04	PALISADE CAPITAL MANAGEMENT LLC	025	CVRR	B	9,080	21.46	n/a	n/a	363.20	0.0
AO,CXL	11/04	PALISADE CAPITAL MANAGEMENT LLC	025	CVRR	B	9,080	21.46	n/a	n/a	363.20	0.0
AO,	11/04	CAERUS GLOBAL	085	F	B	960	16.89	n/a-2013-11-04		38.40	0.0
AO,CRT	11/04	CAERUS GLOBAL	85	F	B	5,440	16.89	n/a-2013-11-04		217.60	0.0
AO,CXL	11/04	EDGEWOOD	085	F	B	6,400	16.89	n/a-2013-11-04		256.00	0.0
AO,CXL	11/04	EDGEWOOD	085	FBHS	B	26,785	42.72	n/a	n/a	1071.40	0.0
AO,	11/04	SYMPHONY ASSET	033	FBHS	B	26,785	42.72	n/a	n/a	803.55	0.0
AO,CXL	10/31	TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	6,560	93.87	n/a	n/a	328.00	0.0
AO,CRT	10/31	TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	6,560	93.87	n/a	n/a	328.00	0.0
AO,CXL	10/31	TIEDEMANN/TIG ADVISORS LLC	006	XLY	B	6,130	63.28	n/a	n/a	306.50	0.0
AO,CRT	10/31	TIEDEMANN/TIG ADVISORS LLC	006	XLY	B	6,130	63.28	n/a	n/a	306.50	0.0
AO,CRT	11/04	CADIAN CAPITAL	041	XRT	SS	12,000	85.09	n/a	n/a	360.00	0.0
AO,CXL	11/04	CADIAN CAPITAL	041	XRT	SS	12,000	85.09	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										92.15	

TOTAL (Trade Date) :

61,689.12

TOTAL (AO, CXL, CRT):

92.15

TOTAL (RUN DATE) / NFS:

61,781.27

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 5-Nov.
NONE

MRI Securities without Trade Activity on 5-Nov.
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)