



Daily Compliance Activity Report

Trade Date: 11/13/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	1,139	519.90	n/a	n/a	56.95	5.0
BMO / M&I FUNDS	047	ACAS	S	100,000	14.17	n/a	n/a	4,000.00	4.0
MACELLUM CAPITAL	086	AEO	B	64,000	16.07	n/a	n/a	1,920.00	3.0
EDGEWOOD	085	AGN	B	5,398	94.28	30-Oct	13-Nov	269.90	5.0
f EDWARD W WHEELER	FID	AGN	B	2000	92.97	30-Oct	13-Nov	0.00	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	15,000	39.95	n/a	n/a	450.00	3.0
BARROW HANLEY MEWHINNEY	031	AIG	S	1,752	48.04	n/a	n/a	61.32	4.0
LAKEWOOD CAPITAL MGMT	085	AIG	B	8,000	48.42	n/a	n/a	240.00	3.0
f LBP ENTERPRISES INC	FID	AMGN	S	1000	113.13	n/a	n/a	0.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	AMPE	B	12,000	8.26	n/a	n/a	480.00	4.0
EDGEWOOD	085	AMT	B	5,164	77.91	n/a	n/a	258.20	5.0
YORK CAPITAL	036	AMT	B	40,000	77.61	n/a	n/a	1,200.00	3.0
EDGEWOOD	085	AMZN	B	1,882	354.92	n/a	n/a	94.10	5.0
STATE OF WISCONSIN	047	AVP	B	50,000	17.20	11-Nov	n/a	2,000.00	4.0
VISIUM/BALY BOBBY	044	AVP	S	45,000	17.20	11-Nov	n/a	2,250.00	5.0
DAVIDSON KEMPNER ADVISOR	281	AWAY	SS	25,000	34.83	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	BIPIX	B	105	189.71	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BURL	C	30,500	28.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BURL	C	60,000	28.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BURL	C	7,900	28.86	n/a	n/a	non-brg	2.0
NEWLAND CAPITAL MGT	025	BZH	S	3,601	19.42	n/a	n/a	144.04	4.0
EDGEWOOD	085	CELG	B	5,617	148.75	n/a	n/a	280.85	5.0
NEWLAND CAPITAL MGT	025	CGI	B	10,000	19.05	n/a	30-Oct	400.00	4.0
ß BUCK CAPITAL MGMT		CHGG	B	1,000	12.50	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		CHGG	S	1,000	9.68	n/a	n/a	non-brg	2.5
KAM ADVISORS LLC	041	CMCSA	B	115,000	47.26	n/a	n/a	3,450.00	3.0
LATEEF MGMT	033	CMC	S	600	18.67	n/a	n/a	60.00	10.0
EDGEWOOD	085	CME	B	6,874	78.29	n/a	n/a	343.70	5.0
EDGEWOOD	085	CMG	B	1,035	536.36	18-Oct	30-Oct	51.75	5.0
NEWLAND CAPITAL MGT	025	CNW	SS	10,000	40.75	1-Nov	1-Nov	400.00	4.0
EDGEWOOD	085	CTSH	B	8,416	92.40	n/a	n/a	420.80	5.0
EVERGREEN	047	CTXS	S	67,000	57.61	n/a	n/a	2,680.00	4.0
P.SCHOENFELD ASSET MGMT LLC	041	CXW	S	50,000	35.29	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	DAL	B	25,000	28.02	23-Oct	4-Nov	1,250.00	5.0
S.A.C. CAPITAL	044	DDS	B	300	87.01	n/a	12-Nov	9.00	3.0
SANDLER CAPITAL	028	DD	S	260,200	60.72	n/a	n/a	13,010.00	5.0
f YANAI A FRANK	FID	DIOD	B	750	20.03	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	DKS	B	1,000	55.39	n/a	13-Nov	40.00	4.0
CSL ASSOCIATES	006	EBAY	S	6,000	52.62	n/a	n/a	300.00	5.0
EDGEWOOD	085	ECL	B	2,802	105.74	n/a	n/a	140.10	5.0
NORTHWESTERN MUTUAL LIFE	047	EEM	B	118,212	40.55	n/a	n/a	2,364.24	2.0
NORTHWESTERN MUTUAL LIFE	047	EFA	S	421,950	65.04	n/a	n/a	8,439.00	2.0
DAVIDSON KEMPNER ADVISOR	281	EL	B	7,500	70.52	n/a	6-Nov	375.00	5.0
NORTHWESTERN MUTUAL LIFE	047	EMC	B	30,700	24.15	n/a	n/a	1,228.00	4.0
EDGEWOOD	085	EQIX	B	1,358	156.89	n/a	n/a	67.90	5.0
B BUCK CAPITAL MGMT		EXPE	SS	20,000	61.43	n/a	n/a	non-brg	3.0
CAMBIAR CAP	046	FINL	S	200,112	25.39	n/a	13-Nov	8,004.48	4.0
CR INTRINIC INVESTMENT	044	FINL	S	20,000	25.44	n/a	13-Nov	600.00	3.0
FIRST NY SEC/CHRIS	041	FINL	B	10,000	25.48	n/a	13-Nov	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KADE CAPITAL LLC	028	FINL	B	7,500	25.48	n/a	13-Nov	375.00	5.0
SCOPUS FUND	041	FINL	B	100,000	25.37	n/a	13-Nov	4,000.00	4.0
SURVEYOR CAPITAL	251	FINL	S	35,000	25.49	n/a	13-Nov	1,400.00	4.0
PALISADE CAPITAL MANAGEMENT LLC	025	FRM	B	15,000	11.03	n/a	n/a	600.00	4.0
EDGEWOOD	085	FTI	B	3,621	49.06	n/a	n/a	181.05	5.0
CAERUS GLOBAL	041	F	B	40,000	16.80	n/a	6-Nov	1,600.00	4.0
OZ MGMT	040	F	C	478,772	17.00	n/a	6-Nov	14,363.16	3.0
B BUCK CAPITAL MGMT		GES	C	50,000	33.49	n/a	17-Oct	non-brg	4.0
EDGEWOOD	085	GILD	B	13,249	68.24	n/a	n/a	662.45	5.0
DAVIDSON KEMPNER ADVISOR	281	GIS	SS	25,000	50.69	n/a	n/a	1,250.00	5.0
ARDSLEY PARTNERS	280	GM	B	10,000	38.08	n/a	13-Nov	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	37.84	n/a	13-Nov	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	38.40	n/a	13-Nov	300.00	3.0
MOORE CAPITAL	257	GM	B	100,000	38.00	n/a	13-Nov	3,000.00	3.0
THREE G	041	GM	B	97,100	38.47	n/a	13-Nov	2,913.00	3.0
EDGEWOOD	085	GOOG	B	7341	028.55	n/a	n/a	36.70	5.0
MERRILL ASSET/BLACKROCK	085	HCC	S	3,320	45.57	n/a	n/a	132.80	4.0
f LEE F BACKUS	FID	HTZ	B	2000	23.56	n/a	n/a	0.00	0.0
EDGEWOOD	085	IHS	B	6,365	112.79	n/a	n/a	318.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	ILMN	B	6,855	95.29	n/a	n/a	342.75	5.0
EDGEWOOD	085	ISRG	B	2,068	393.82	n/a	n/a	103.40	5.0
DAVIDSON KEMPNER ADVISOR	281	JACK	B	50,000	43.64	n/a	n/a	2,500.00	5.0
BTG PACTUAL	040	JBLU	S	25,000	8.35	n/a	4-Nov	750.00	3.0
SAC CHRIS C	041	JNJ	S	55,000	92.89	n/a	n/a	1,650.00	3.0
ADAGE CAPITAL MGMT	030	JWN	B	137,576	63.24	n/a	12-Nov	4,127.28	3.0
S.A.C. CAPITAL	044	JWN	SS	20,000	63.17	n/a	12-Nov	600.00	3.0
B BUCK CAPITAL MGMT		KND	B	50,000	14.34	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	KSS	B	20,000	57.88	n/a	12-Nov	600.00	3.0
CORVEX CAPITAL	041	LBTYA	S	50,000	79.28	n/a	n/a	1,500.00	3.0
STRONG/MARK GRONET	030	LCC	B	164,535	23.59	24-Oct	13-Nov	6,581.40	4.0
MERRILL ASSET/BLACKROCK	085	LEAF	B	7,910	20.19	n/a	n/a	316.40	4.0
PEAK INV/OAKMONT/CYPRESS	084	LMT	B	100,000	136.22	18-Oct	22-Oct	4,000.00	4.0
FOUNDRY PARTNERS LLC	030	LNKD	B	425	218.42	n/a	n/a	17.00	4.0
FARALLON CAP MGMT	040	LTD	S	24,244	64.28	n/a	n/a	727.32	3.0
S.A.C. CAPITAL	044	MCD	B	25,000	97.82	22-Oct	30-Oct	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BARROW HANLEY MEWHINNEY	031	MO	S	13,444	37.19	n/a	n/a	470.55	4.0	
ROTHSCHILD ASSET	040	MSFT	B	14,175	37.72	n/a	n/a	567.00	4.0	
STRONG/MARK GRONET	030	NBL	B	460	73.88	n/a	n/a	18.40	4.0	
B BUCK CAPITAL MGMT		NCLH	S	15,000	31.88	n/a	n/a	non-brg	4.0	
STRONG/MARK GRONET	030	NEM	B	510	27.33	n/a	n/a	20.40	4.0	
LAKEWOOD CAPITAL MGMT	085	NEON	C	10,000	5.32	n/a	n/a	300.00	3.0	
KLEINHEINZ CAP PART	031	OCN	B	75,000	51.58	n/a	n/a	3,750.00	5.0	
B BUCK CAPITAL MGMT		OWW	B	60,000	7.33	n/a	n/a	non-brg	3.0	
B BUCK CAPITAL MGMT		OWW	B	75,000	7.31	n/a	n/a	non-brg	3.0	
EDGEWOOD	085	PCP	B	1,585	248.02	8-Nov	24-Oct	79.25	5.0	
P.SCHOENFELD ASSET MGMT LLC	041	PDM	B	57,000	17.50	n/a	n/a	2,280.00	4.0	
KENNEDY CAPITAL	046	PLCE	B	23,450	54.22	n/a	n/a	938.00	4.0	
PALISADE CAPITAL MANAGEMENT LLC	025	PSIX	S	1,000	69.86		n/a	n/a	40.00	4.0
EDGEWOOD	085	QCOM	B	2,652	69.76	n/a	n/a	132.60	5.0	
PALISADE CAPITAL MANAGEMENT LLC	025	QUIK	S	20,000	3.26		n/a	n/a	800.00	4.0
PALISADE CAPITAL MANAGEMENT LLC	025	RENT	B	5,000	40.07		n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORNERSTONE	030	RL	B	4,922	173.85	n/a	7-Nov	147.66	3.0
BARROW HANLEY MEWHINNEY	031	RTN	S	975	84.51	n/a	n/a	34.13	4.0
AH LISANTI	006	SAVE	S	18,775	44.13	18-Oct	4-Nov	938.75	5.0
f MANNY I KORMAN	FID	SLMAP	B	3000	47.00	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	SLM	S	19,220	25.67	n/a	5-Nov	672.70	4.0
TYVOR CAPITAL LLC	031	SSI	S	10,000	21.75	n/a	8-Nov	300.00	3.0
EDGEWOOD	085	SSYS	B	1,732	124.95	n/a	n/a	86.60	5.0
B BUCK CAPITAL MGMT		STAY	B	5,000	20.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		STAY	S	5,000	22.75	n/a	n/a	non-brg	2.5
YORK CAPITAL	036	SUNE	B	400,000	13.31	n/a	n/a	12,000.00	3.0
PALISADE CAPITAL MANAGEMENT LLC	025	THRM	B	10,000	23.34	n/a	n/a	400.00	4.0
S.A.C. CAPITAL	044	TJX	B	20,000	62.33	23-Oct	23-Oct	600.00	3.0
EDGEWOOD	085	TROW	B	4,724	78.65	n/a	n/a	236.20	5.0
1798 CAP/LOMBARD ASSET	040	TYC	B	15,000	36.58	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		UAL	B	14,000	35.96	25-Oct	8-Nov	non-brg	4.0
NEWLAND CAPITAL MGT	025	UPS	B	21,522	100.55	28-Oct	n/a	860.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	VIAB	B	10,547	82.73	n/a	n/a	527.35	5.0
EDGEWOOD	085	V	B	1,797	199.13	31-Oct	31-Oct	89.85	5.0
CR INTRINIC INVESTMENT	044	WEN	SS	20,000	8.66	n/a	30-Oct	600.00	3.0
CAERUS GLOBAL	041	WWW	B	400	30.35	n/a	n/a	16.00	4.0
COUGAR TRADING	044	WY	B	25,000	29.64	25-Oct	13-Nov	1,250.00	5.0
COUGAR TRADING	044	WY	S	25,000	29.63	25-Oct	13-Nov	1,250.00	5.0
KORTRIGHT CAPITAL PARTNERS	025	WY	B	25,000	29.60	25-Oct	13-Nov	750.00	3.0
RIDGECREST INV MGMT LLC	028	WY	B	30,000	29.60	25-Oct	13-Nov	1,200.00	4.0
WOOSTER CAPITAL	044	WY	B	25,000	29.58	25-Oct	13-Nov	1,250.00	5.0
TOTAL (Trade Date) :								151,143.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/06	STERLING CAPITAL MGMT.	093	HTZ	B	9,397	21.67	n/a	n/a	422.87 0.0
AO,CXL	11/06	STERLING CAPITAL MGMT.	093	HTZ	B	9,397	21.67	n/a	n/a	422.87 0.0
AO,CRT	11/12	SANDLER O'NEILL ASSET	031	LAZ	S	11,500	40.50-2013-10-24-2013-11-07			575.00 0.0
AO,CXL	11/12	SANDLER O'NEILL ASSET	031	LAZ	S	11,500	40.50-2013-10-24-2013-11-07			575.00 0.0
AO,CRT	11/12	FSI GROUP, LLC	047	RWT	S	37,230	17.98	n/a	n/a	1489.20 4.0
AO,CXL	11/12	STATE OF WISCONSIN	047	RWT	S	37,230	17.98	n/a	n/a	1489.20 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	151,143.61
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	151,143.61
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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 13-Nov.
NONE

MRI Securities without Trade Activity on 13-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)