



Daily Compliance Activity Report

Trade Date: 11/14/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	AAMRQ	S	750,000	11.96	n/a	n/a	15,000.00	2.0
B BUCK CAPITAL MGMT		AEO	B	75,000	15.99	n/a	n/a	non-brg	4.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	5,000	40.09	n/a	n/a	150.00	3.0
f JARROD MICHAEL FEINS	FID	ALGN	B	100	54.70	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	ARR	S	10000	4.11	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	AXL	B	2,000	18.29	n/a	14-Nov	80.00	4.0
f MARK ANTHONY GRONET	FID	BA	S	400	134.76	28-Oct	13-Nov	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	S	1500	10.05	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	BIG	SS	45,000	37.27	n/a	n/a	1,350.00	3.0
B BUCK CAPITAL MGMT		BURL	C	11,900	29.49	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	CBS	S	14,950	60.49	n/a	n/a	538.20	4.0
FRED ALGER MGMT	300	CCI	S	8,000	75.48	n/a	n/a	288.00	4.0
TROUBH PART	070	CSCO	S	15,000	21.42	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		DKS	S	20,000	55.65	n/a	14-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	DLIA	S	75,200	1.54	n/a	n/a	1,880.00	3.0
LAKEWOOD CAPITAL MGMT	085	DXCM	C	8,000	32.69	n/a	n/a	240.00	3.0
B BUCK CAPITAL MGMT		EXPE	SS	8,200	60.82	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FNP	S	50,000	30.28	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	GLW	S	10000	16.90	n/a	n/a	0.00	0.0
MAPLE LANE CAPITAL	040	GLW	B	100,000	16.86	n/a	n/a	5,000.00	5.0
CASTLE ARK	031	GNC	S	120,500	58.75	n/a	n/a	4,820.00	4.0
MOORE CAPITAL	257	GNC	B	20,000	58.68	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	085	GNW	B	6,700	14.43	n/a	n/a	268.00	4.0
CADIAN CAPITAL	041	GOOG	B	2,000	1,039.17	n/a	n/a	60.00	3.0
f MARK ANTHONY GRONET	FID	GSVC	S	1000	13.12	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	GSVC	S	1000	13.15	n/a	n/a	0.00	0.0
NEW VERNON/SF INVESTMENTS	031	GS	S	14,000	163.41	n/a	11-Nov	700.00	5.0
B BUCK CAPITAL MGMT		IP	B	11,000	44.78	n/a	25-Oct	non-brg	3.0
WHITE PINE CAPITAL	030	IWM	C	23,000	110.42	n/a	n/a	1,150.00	5.0
WHITE PINE CAPITAL	030	IWO	SS	27,500	129.52	n/a	n/a	1,375.00	5.0
LOMAS CAPITAL	040	JBLU	S	26,000	8.74	n/a	4-Nov	780.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	489,400	8.68	n/a	4-Nov	14,682.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	S	378,220	8.78	n/a	4-Nov	15,128.80 4.0
SIGMA CAPITAL ASSOCIATES	041	JWN	SS	25,000	63.02	n/a	12-Nov	750.00	3.0
B BUCK CAPITAL MGMT		KND	B	21,300	14.37	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	S	109,810	53.83	n/a	14-Nov	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	54.37	n/a	14-Nov	750.00	3.0
SCOPUS FUND	041	LAD	B	10,000	64.16	n/a	n/a	400.00	4.0
CORVEX CAPITAL	041	LBTYA	S	46,000	80.17	n/a	n/a	1,380.00	3.0
FIRST NY SEC/CHRIS	041	LCC	B	10,000	23.61	24-Oct	13-Nov	500.00	5.0
FARALLON CAP MGMT	040	LTD	S	15,756	64.27	n/a	n/a	630.24	4.0
GALT INVESTMENT	041	LTM	S	10,000	47.97	n/a	n/a	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	B	175,000	34.14	30-Oct	30-Oct	5,250.00	3.0
SOROS	036	MWV	S	75,000	34.03	30-Oct	30-Oct	3,000.00	4.0
TUDOR INVESTORS	028	MWV	B	10,000	34.13	30-Oct	30-Oct	300.00	3.0
B BUCK CAPITAL MGMT		NCLH	S	20,000	31.86	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	NEM	B	10,000	27.60	n/a	n/a	400.00	4.0
FIRST NEW YORK	086	NOK	B	20,000	7.89	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		OWW	B	15,000	7.26	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		OWW	B	55,000	7.17	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PCLN	C	2,000	1137.69	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	PETM	C	14,000	73.31	n/a	n/a	420.00	3.0
SCOPUS FUND	041	PIR	S	40,000	22.04	n/a	n/a	1,600.00	4.0
EGS ASSOCIATES LP	091	PLCE	SS	5,000	54.11	n/a	n/a	250.00	5.0
KENNEDY CAPITAL	046	PLCE	B	20,530	54.38	n/a	n/a	821.20	4.0
CADIAN CAPITAL	041	PNRA	B	32,000	169.55	22-Oct	30-Oct	960.00	3.0
LOMAS CAPITAL	040	RCL	S	22,700	43.09	n/a	n/a	681.00	3.0
B BUCK CAPITAL MGMT		RL	S	10,000	174.98	n/a	7-Nov	non-brg	4.0
NEW VERNON/SF INVESTMENTS	031	SAVE	B	43,200	44.97	18-Oct	4-Nov	2,160.00	5.0
CADIAN CAPITAL	041	SBH	SS	10,000	27.14	n/a	n/a	300.00	3.0
OMEGA ADVISORS	041	SLM	S	150,000	25.91	n/a	5-Nov	6,000.00	4.0
SAC CHRIS C	041	SPNC	B	8,583	21.38	n/a	n/a	257.49	3.0
MERRILL ASSET/BLACKROCK	085	STT	S	313,605	70.64	n/a	7-Nov	12,544.20	4.0
TROUBH PART	070	TOL	S	10,000	33.60	n/a	n/a	500.00	5.0
f NICOLAS EVAN PAKLER	FID	TSLA	S	105	134.47	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	TYC	B	28,000	37.45	14-Nov	n/a	1,400.00	5.0
NEW VERNON/SF INVESTMENTS	031	UAL	B	52,700	36.60	25-Oct	8-Nov	2,635.00	5.0
WHITE PINE CAPITAL	030	VBK	C	8,600	118.86	n/a	n/a	430.00	5.0
f MARK ANTHONY GRONET	FID	VRNG	B	3000	3.12	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	006	VRSK	S	5,000	63.92	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	78.03	n/a	14-Nov	750.00	3.0
f ANGELOS EFSTATHIOU	FID	WY	B	300	29.80	25-Oct	13-Nov	0.00	0.0
f HARALAMBOS EFSTATHI	FID	WY	B	600	29.80	25-Oct	13-Nov	0.00	0.0
J. GOLDMAN	028	XLI	SS	63,000	49.86	n/a	n/a	2,520.00	4.0
f EDWARD W WHEELER	FID		S	5000	101.84	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							113,929.13		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/05	BESSEMER INVESTMENT	085	AET	S	1,300	63.02	n/a	n/a	52.00	0.0
AO,CXL	11/05	BESSEMER INVESTMENT	085	AET	S	1,300	63.02	n/a	n/a	52.00	0.0
AO,CRT	11/13	CSL ASSOCIATES	006	EBAY	S	6,000	52.62	n/a	n/a	240.00	0.0
AO,CXL	11/13	CSL ASSOCIATES	006	EBAY	S	6,000	52.62	n/a	n/a	300.00	0.0
AO,CRT	11/13	CAERUS GLOBAL	041	F	B	33,925	16.80	n/a-2013-11-06		1316.80	0.0
AO,CXL	11/13	CAERUS GLOBAL	041	F	B	33,925	16.80	n/a-2013-11-06		1357.00	0.0
AO,CXL	11/13	THREE G	041	GM	B	97,100	38.47	n/a-2013-11-13		2913.00	0.0
AO,CRT	11/13	WEXFORD CAPITAL	284	GM	B	97,100	38.47	n/a-2013-11-13		2913.00	0.0
AO,CXL	11/13	FARALLON CAP MGMT	040	LTD	S	24,244	64.28	n/a	n/a	727.32	0.0
AO,CRT	11/13	FARALLON CAP MGMT	040	LTD	S	24,244	64.28	n/a	n/a	969.76	4.0

TOTAL (AO, CXL, CRT) :**142.24**

TOTAL (Trade Date):

113,929.13

TOTAL (AO, CXL, CRT):

142.24

TOTAL (RUN DATE) / NFS:**114,071.37**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	11/12	BUCK CAPITAL MGMT.	CRMB	S	10,733	1.26	n/a	n/a	107.33
CRT	11/12	BUCK CAPITAL MGMT	CRMB	S	14,267	1.26	n/a	n/a	142.67 1.0

MRI Securities with Trade Activity on 14-Nov.

TYC

MRI Securities without Trade Activity on 14-Nov.

GWV, CLX, M

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)