



Daily Compliance Activity Report

Trade Date: 11/11/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ACHC	B	275	43.69	n/a	n/a	5.50	2.0
f BRIAN P CLIFFORD	FID	AIRM	B	500	51.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANN	B	20,000	35.13	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	085	APAM	S	6,600	61.51	n/a	n/a	264.00	4.0
B BUCK CAPITAL MGMT		ASNA	C	120,300	20.66	n/a	n/a	non-brg	4.0
INTERVAL PARTNERS	033	ASNA	B	20,000	20.73	n/a	n/a	600.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATHN	B	117	132.84	n/a	n/a	2.34	2.0
OMEGA ADVISORS	041	ATML	S	700,000	7.25	n/a	n/a	21,000.00	3.0
WADDELL AND REED	047	ATML	S	302,500	7.10	n/a	n/a	12,100.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATU	B	380	38.05	n/a	n/a	7.60	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AWAY	B	279	33.28	n/a	n/a	5.58	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	B	524	37.85	n/a	n/a	10.48	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BANR	B	234	39.12	n/a	n/a	4.68	2.0
KEY ASSET MGMT/VICTORY	220	BA	S	94,660	132.67	28-Oct	8-Nov	3,786.40	4.0
MERRILL ASSET/BLACKROCK	085	BBCN	S	25,000	15.09	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BC		B	414	45.51		n/a	n/a	8.28 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BECN		B	380	35.13		n/a	n/a	7.60 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BJRI		B	120	27.36		n/a	n/a	2.40 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BLOX		B	475	43.44		n/a	n/a	9.50 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	BZH		B	715	18.77		n/a	n/a	14.30 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CAR		B	201	32.65		n/a	n/a	4.02 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CASY		B	170	76.22		n/a	n/a	3.40 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CAVM		B	447	38.57		n/a	n/a	8.94 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CEB		B	227	72.57		n/a	n/a	4.54 2.0
SAC CHRIS C	041	CFN	SS	25,000	38.04	n/a	n/a	750.00	3.0
KEY ASSET MGMT/VICTORY	220	CHRW	B	178,000	59.33	n/a	6-Nov	7,120.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CNC		B	198	57.27		n/a	n/a	3.96 2.0
B BUCK CAPITAL MGMT		CRMB	S	11,000	1.26	n/a	n/a	non-brg	1.0
MAPLE LANE CAPITAL	040	CRUS	B	10,000	19.26	n/a	n/a	400.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	CSGP		B	45	172.72		n/a	n/a	0.90 2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CVLT	B	83	75.26	n/a	n/a	1.66	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DGI	B	561	35.32	n/a	n/a	11.22	2.0
B BUCK CAPITAL MGMT	DG	B	50,000	58.05	n/a	n/a	non-brg	4.0	
CADIAN CAPITAL	041 DKS	B	9,500	54.05	n/a	7-Nov	285.00	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DSX	B	699	11.76	n/a	n/a	13.98	2.0
SAC CHRIS C	041 DVA	SS	25,000	56.95	n/a	n/a	750.00	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DW	B	229	51.32	n/a	n/a	4.58	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DXCM	B	369	33.17	n/a	n/a	7.38	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ECOL	B	303	34.67	n/a	n/a	6.06	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	EGP	B	143	61.09	n/a	n/a	2.86	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ELGX	B	402	17.81	n/a	n/a	8.04	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ENV	B	412	35.31	n/a	n/a	8.24	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	EXAM	B	531	26.14	n/a	n/a	10.62	2.0
f DAVID GEORGE BUCK	FID FBIOX	B	755	165.64	n/a	n/a	0.00	0.0	
CAMBIAR CAP	046 FINL	S	121,518	24.80	n/a	7-Nov	4,860.72	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FINL	B	50,000	24.81	n/a	7-Nov	2,000.00	4.0
f MARC PAUL LUCHANSKY	FID	FOR	S	500	20.50	n/a	7-Nov	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		FUL	B		209	48.32	n/a	n/a	4.18 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		FURX	B		253	35.27	n/a	n/a	5.06 2.0
KEYGROUP/KGLT	040	FWLT	C	25,000	30.12	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		GME	B	10,000	54.42	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		GME	B		153	55.36	n/a	n/a	3.06 2.0
ARDSLEY PARTNERS	280	GM	B	25,000	36.87	n/a	7-Nov	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	C	18,000	36.90	n/a	7-Nov	540.00	3.0
TIDE POINT CAPITAL	028	GPI	B	15,000	63.98	25-Oct	31-Oct	450.00	3.0
B BUCK CAPITAL MGMT		GPS	C	70,000	41.38	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		GWRE	B		255	46.52	n/a	n/a	5.10 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		GWR	B		105	98.89	n/a	n/a	2.10 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HAE	B		167	39.66	n/a	n/a	3.34 2.0
f DAVID GEORGE BUCK	FID	HDV	B	2000	70.07	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HIMX	B		1,475	9.34	n/a	n/a	29.50 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HLS	B		402	34.45	n/a	n/a	8.04 2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.			
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	HMSY	B	144	21.25	n/a	n/a	2.88	2.0		
BRONSON POINT	036	HOLX	S	100,000	22.62	n/a	n/a	3,000.00	3.0		
SAC CHRIS C	041	HOLX	SS	175,000	22.61	n/a	n/a	5,250.00	3.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	HOS	B	122	54.00	n/a	n/a	2.44	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	HVT	B	245	27.29	n/a	n/a	4.90	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	HXL	B	263	43.14	22-Oct	n/a	5.26	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	IMAX	B	601	29.45	n/a	n/a	12.02	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ININ	B	205	66.31	n/a	n/a	4.10	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	IWO	S	23,388	128.38	n/a	n/a	467.76	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	JACK	B	319	42.70	n/a	n/a	6.38	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	JLL	B	140	94.18	n/a	n/a	2.80	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	KERX	B	1,424	12.55	n/a	n/a	28.48	2.0		
T. ROWE PRICE	243	KS	B	14,372	52.49	n/a	n/a	574.88	4.0		
ELM RIDGE ADVISORS	044	LLY	S	3,969	49.60	n/a	n/a	158.76	4.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	LNN	B	121	78.64	n/a	n/a	2.42	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MINI	B	380	38.78	n/a	n/a	7.60	2.0		

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MKTG	B	963	16.24	n/a	n/a	19.26	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MKTX	B	126	66.46	n/a	n/a	2.52	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MMS	B	261	47.13	n/a	n/a	5.22	2.0
ELM RIDGE ADVISORS	044	MRK	S	4,986	46.95	n/a	n/a	199.44	4.0
COLUMBUS CIRCLE	036	MTH	S	7,372	41.04	n/a	n/a	294.88	4.0
HOTCHKIS & WILEY	084	MUR	B	147,000	61.95	n/a	n/a	5,880.00	4.0
f BRIAN P CLIFFORD	FID	MU	S	2000	17.98	n/a	n/a	0.00	0.0
J. GOLDMAN	028	MWV	B	14,000	34.29	30-Oct	30-Oct	560.00	4.0
f KATHERINE L O'GORMAN	FID	NAV	B	700	40.97	n/a	6-Nov	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	NAV	B	700	40.98	n/a	6-Nov	0.00	0.0
ELM RIDGE ADVISORS	044	NBR	S	9,646	17.92	n/a	n/a	385.84	4.0
B BUCK CAPITAL MGMT		NCLH	S	10,877	31.60	n/a	n/a	non-brg	4.0
ELM RIDGE ADVISORS	044	NFX	S	5,955	29.69	n/a	n/a	238.20	4.0
f DAVID GEORGE BUCK	FID	NLY	S	5000	10.34	n/a	n/a	0.00	0.0
HALCYON LLC	041	NNN	S	108,000	32.82	n/a	n/a	3,240.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	NQ	B	215	13.47	n/a	n/a	4.30	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OAS	B	224	51.47	n/a	n/a	4.48	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ODFL	B	134	48.10	n/a	n/a	2.68	2.0
ELM RIDGE ADVISORS	044	ONNN	S	20,763	7.13	n/a	n/a	830.52	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OREX	B	806	5.03	n/a	n/a	16.12	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OSIS	B	228	73.45	n/a	n/a	4.56	2.0
B BUCK CAPITAL MGMT	OWW	B	30,000	7.35	n/a	n/a	non-brg	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OZRK	B	171	50.91	n/a	n/a	3.42	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PBYI	B	97	36.97	n/a	n/a	1.94	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PEB	B	326	28.66	n/a	n/a	6.52	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PES	B	991	8.28	n/a	n/a	19.82	2.0
f DAVID GEORGE BUCK	FID	PINC	B	400	31.10	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	POOL	B	15,547	53.86	n/a	n/a	621.88	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PRIM	B	428	28.40	n/a	n/a	8.56	2.0
MAPLE LANE CAPITAL	040	P	S	30,000	26.96	n/a	n/a	1,200.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	RESI	B	416	26.65	n/a	n/a	8.32	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RKT	B	3,600	95.03	6-Nov	6-Nov	non-brg	3.0
FOUNDRY PARTNERS LLC	030	ROK	B	250	112.64	n/a	n/a	10.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ROSE	B		307	55.08	n/a	n/a	6.14 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	RRGB	B		200	79.64	n/a	n/a	4.00 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	RYL	B		163	36.29	n/a	n/a	3.26 2.0
MERRILL ASSET/BLACKROCK	085	RYN	S	8,400	44.94	25-Oct	25-Oct	336.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SCAI	B		183	26.58	n/a	n/a	3.66 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SCBT	B		154	61.79	n/a	n/a	3.08 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SCS	B		925	15.99	n/a	n/a	18.50 2.0
COLUMBUS CIRCLE	036	SFLY	B	4,417	48.57	n/a	n/a	176.68	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SFLY	B		403	48.48	n/a	n/a	8.06 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SIX	B		376	36.94	n/a	n/a	7.52 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SLCA	B		207	33.59	n/a	n/a	4.14 2.0
f BRIAN P CLIFFORD	FID	SLXP	B	1000	85.10	8-Nov	8-Nov	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SONS	B		2,441	2.99	n/a	n/a	48.82 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SPNC	B		524	20.87	n/a	n/a	10.48 2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.			
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SPSC	B	321	66.83	n/a	n/a	6.42	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	SWFT	B	661	22.06	n/a	24-Oct	13.22	2.0		
SAC CHRIS C	041	SYK	SS	25,000	73.32	n/a	n/a	750.00	3.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	TBI	B	361	24.44	n/a	n/a	7.22	2.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	TFM	B	183	49.50	n/a	n/a	3.66	2.0		
HOTCHKIS & WILEY	084	TOT	S	96,100	59.06	n/a	n/a	3,844.00	4.0		
f MARC PAUL LUCHANSKY	FID	TSLA	B	10	143.64	n/a	n/a	0.00	0.0		
MAPLE LANE CAPITAL	040	TWTR	S	42,000	42.47	n/a	n/a	1,680.00	4.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	TXTR	B	319	31.38	n/a	n/a	6.38	2.0		
BARROW HANLEY MEWHINNEY	031	T	S	104,000	35.02	n/a	n/a	3,640.00	4.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ULTI	B	47	156.80	n/a	n/a	0.94	2.0		
FOUNDRY PARTNERS LLC	030	UNP	S	11,735	155.79	n/a	18-Oct	469.40	4.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	USG	B	410	26.39	n/a	28-Oct	8.20	2.0		
BARROW HANLEY MEWHINNEY	031	VOD	B	95,600	36.48	n/a	n/a	3,346.00	4.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	VSI	B	297	50.68	1-Nov[i]	7-Nov	5.94	2.0		

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	WAGE	B	144	54.67		n/a	n/a	2.88 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	WEX	B	153	97.23		n/a	n/a	3.06 2.0
DAVIDSON INV ADV	033	WMT	S	31,810	78.90	n/a	11-Nov	1,272.40	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	78.20	n/a	11-Nov	750.00	3.0
f DAVID GEORGE BUCK	FID	WYNN	B	300	165.59	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	XL	S	98,800	31.25	n/a	n/a	3,458.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	XRS	B	674	19.15		n/a	n/a	13.48 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	YELP	B	153	63.09		n/a	n/a	3.06 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ZUMZ	B	348	29.42		n/a	n/a	6.96 2.0
TOTAL (Trade Date):							101,415.88		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/08	BLUE MOUNTAIN CAPITAL	087	GPS	S	45,000	40.10	n/a	n/a	1350.00 0.0
AO,CXL	11/08	BLUE MOUNTAIN CAPITAL	087	GPS	S	45,000	40.10	n/a	n/a	1350.00 0.0
AO,CXL	11/08	TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	5,000	93.27	n/a	n/a	250.00 0.0
AO,CRT	11/08	TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	5,000	93.27	n/a	n/a	250.00 0.0
AO,CRT	11/08	BLUE MOUNTAIN CAPITAL	087	JNK	S	350,000	40.45	n/a	n/a	10500.00 0.0
AO,CXL	11/08	BLUE MOUNTAIN CAPITAL	087	JNK	S	350,000	40.45	n/a	n/a	10500.00 0.0
AO,CRT	11/08	HALCYON LLC	041	NRG	SS	34,000	28.07	n/a	n/a	1020.00 0.0
AO,CXL	11/08	HALCYON LLC	041	NRG	SS	34,000	28.07	n/a	n/a	1020.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	101,415.88
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TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	101,415.88
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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 11-Nov.
NONE

MRI Securities without Trade Activity on 11-Nov.
AVP, CPA

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)