



Daily Compliance Activity Report

Trade Date: 09/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	ANN	SS	4,000	36.33	n/a	n/a	120.00	3.0
B BUCK CAPITAL MGMT		APC	S	5,000	93.42	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	AVB	B	1500	130.00	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	AXL	S	5,000	19.47	n/a	17-Sep	200.00	4.0
f JARROD MICHAEL FEINS	FID	AXL	S	1000	20.25	n/a	17-Sep	0.00	0.0
ROSEDALE CAPITAL	046	AXL	S	30,000	20.04	n/a	17-Sep	1,200.00	4.0
NUVEEN - US BANCORP		030 BA	B	57,799	117.18		n/a	n/a	2,600.96 5.0
HOTCHKIS & WILEY	084	BA	S	162,304	117.08	n/a	n/a	6,492.16	4.0
f JARROD MICHAEL FEINS	FID	BA	S	100	117.05	n/a	n/a	0.00	0.0
LATEEF MGMT	033	BBT	B	500	34.99	n/a	n/a	50.00	10.0
f DAVID GEORGE BUCK	FID	BOTA	B	1208	4.26	n/a	n/a	0.00	0.0
CALA	041	BRKB	S	200,000	115.44	n/a	n/a	6,000.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BZH	B	100,714	18.57		n/a	n/a	3,021.42 3.0
f JARROD MICHAEL FEINS	FID	CLF	S	200	22.10	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CLH	B	1500	59.16	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	CNW	S	30,000	41.30	n/a	21-Aug	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	044	CPN	S	12,000	19.59	n/a	n/a	480.00	4.0
PATTEN & PATTEN	025	CREE	B	100	59.86	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	CSD	B	50	40.44	n/a	n/a	2.50	5.0
IMPALA ASSET MMT	040	CSX	S	16,100	25.87	n/a	n/a	644.00	4.0
LATEEF MGMT	033	DAL	S	750	23.25	n/a	16-Sep	75.00	10.0
PATTEN & PATTEN	025	DBD	B	300	29.85	n/a	n/a	15.00	5.0
LATEEF MGMT	033	DD	S	725	59.60	n/a	n/a	81.50	12.0
B BUCK CAPITAL MGMT		DHI	S	30,000	19.99	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	DLPH	S	15,000	56.96	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		DVN	S	8,500	58.89	n/a	n/a	non-brg	4.0
CALA	041	EOG	S	37,500	167.63	n/a	n/a	1,125.00	3.0
f EDWARD W WHEELER	FID	EXPD	S	2000	44.27	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	EXPD	S	5,000	44.50	n/a	n/a	250.00	5.0
LATEEF MGMT	033	FCX	S	300	33.46	n/a	n/a	36.00	12.0
IMPALA ASSET MMT	040	GBX	S	700	24.79	n/a	n/a	28.00	4.0
DENVER INST. ADV	046	GPOR	B	84,750	62.91	n/a	n/a	3,390.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JARROD MICHAEL FEINS	FID	GS	S	6	166.28	n/a	6-Sep	0.00	0.0
HOTCHKIS & WILEY	084	GXP	B	75,000	21.88	n/a	n/a	3,000.00	4.0
PATTEN & PATTEN	025	HEDJ	B	250	53.41	n/a	n/a	12.50	5.0
IMPALA ASSET MMT	040	HEI	B	6,000	65.78	n/a	n/a	300.00	5.0
CR INTRINIC INVESTMENT	044	HIBB	B	3,000	53.03	n/a	n/a	90.00	3.0
IMPALA ASSET MMT	040	HOG	S	15,000	64.31	n/a	n/a	750.00	5.0
HOPLITE MGMT	025	HUN	B	157,323	19.85	n/a	n/a	6,292.92	4.0
f MARC PAUL LUCHANSKY	FID	IACI	B	200	53.47	n/a	n/a	0.00	0.0
LATEEF MGMT	033	INTC	B	400	23.79	n/a	n/a	40.00	10.0
IONIC CAPITAL MANAGEMENT	041	IP	B	42,200	48.19	n/a	17-Sep	1,266.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	SS	10,000	48.73	n/a	17-Sep	300.00	3.0
IMPALA ASSET MMT	040	IYT	SS	2,200	117.86	n/a	n/a	110.00	5.0
f ANGELO CHRISTOS EFST	FID	JBLU	B	300	6.60	n/a	9-Sep	0.00	0.0
f HARALAMBOS EFSTATHI	FID	JBLU	B	1500	6.60	n/a	9-Sep	0.00	0.0
TYVOR CAPITAL LLC	031	JCP	B	50,000	13.72	21-Aug	16-Sep	1,500.00	3.0
B BUCK CAPITAL MGMT		JOY	S	18,900	53.07	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	KBR	S	10000	32.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		K	C	20,000	60.35	n/a	n/a	non-brg	4.0
VISIUM/BALY BOBBY	044	LECO	C	5,000	67.77	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		LEN	S	15,000	35.07	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	LPX	B	25,000	17.65	n/a	13-Sep	750.00	3.0
BMO / M&I FUNDS	047	MLI	S	18,748	55.86	n/a	n/a	749.92	4.0
MIDS	047	MLI	S	6	55.86	n/a	n/a	0.24	4.0
f DAVID GEORGE BUCK	FID	MPW	B	3000	12.23	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MSCI	S	2000	40.28	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MTZ	S	3000	29.61	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	MWV	B	150	38.44	n/a	n/a	7.50	5.0
BMO / M&I FUNDS	047	M	S	14,700	45.12	n/a	n/a	588.00	4.0
IMPALA ASSET MMT	040	PAG	B	11,400	42.13	n/a	5-Sep	570.00	5.0
f DAVID GEORGE BUCK	FID	PDII	B	6000	5.05	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	PIR	B	50,000	23.36	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	56.96	n/a	23-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	PVH	S	14,741	123.34	n/a	11-Sep	442.23	3.0
IONIC CAPITAL MANAGEMENT	041	RKT	B	8,700	117.83	n/a	17-Sep	261.00	3.0
PATTEN & PATTEN	025	RKT	S	200	120.98	n/a	17-Sep	10.00	5.0
IMPALA ASSET MMT	040	R	S	10,000	60.12	3-Sep	13-Sep	500.00	5.0
CALA	041	SBUX	S	65,000	75.82	n/a	n/a	1,950.00	3.0
GALT INVESTMENT	041	SCSS	S	30,000	24.01	n/a	n/a	1,500.00	5.0
DPB CAPITAL	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	5.0
CALA	041	SLB	S	150,000	88.02	n/a	n/a	4,500.00	3.0
f BRIAN P CLIFFORD	FID	SLXP	B	50	0.40	n/a	13-Sep	0.00	0.0
VISIUM/BALY BOBBY	044	SPW	C	10,000	82.73	n/a	n/a	500.00	5.0
IONIC CAPITAL MANAGEMENT	041	SPY	B	9,500	171.01	n/a	n/a	285.00	3.0
CR INTRINIC INVESTMENT	044	SVU	S	2,900	7.75	n/a	n/a	87.00	3.0
IMPALA ASSET MMT	040	SWFT	S	20,000	19.62	n/a	n/a	800.00	4.0
LATEEF MGMT	033	SWY	S	300	30.49	n/a	n/a	33.00	11.0
MATRIX ASSET ADV.	091	TEL	S	800	53.76	n/a	n/a	32.00	4.0
IMPALA ASSET MMT	040	TEX	S	15,000	32.92	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	TFM	SS	2,000	49.50	n/a	n/a	60.00	3.0
CALA	041	TMO	S	45,000	92.04	n/a	n/a	1,350.00	3.0
PAR CAPITAL	029	TRIP	S	12,308	73.08	n/a	n/a	492.32	4.0
IMPALA ASSET MMT	040	TRW	B	7,000	71.41	n/a	n/a	350.00	5.0
f JARROD MICHAEL FEINS	FID	TSLA	S	25	167.66	n/a	n/a	0.00	0.0
WADDELL AND REED	047	TXN	B	397,310	40.68	n/a	n/a	15,892.40	4.0
LATEEF MGMT	033	T	B	200	34.79	n/a	n/a	30.00	15.0
CALA	041	UNH	S	85,000	74.17	n/a	n/a	2,550.00	3.0
IMPALA ASSET MMT	040	UNP	S	16,000	155.91	n/a	n/a	800.00	5.0
CALA	041	UPS	S	82,500	89.98	n/a	n/a	2,475.00	3.0
CADIAN CAPITAL	041	URBN	S	39,110	38.43	n/a	n/a	1,173.30	3.0
f DAVID GEORGE BUCK	FID	V	B	25	7.19	n/a	13-Sep	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	34,712	22.02	n/a	n/a	1,041.36	3.0
INTERVAL PARTNERS	033	WGO	B	15,000	22.00	n/a	n/a	450.00	3.0
IMPALA ASSET MMT	040	WHR	B	25,000	143.27	n/a	n/a	1,250.00	5.0
f JONATHAN RICHARD HAR	FID	WNC	S	1000	11.50	n/a	13-Sep	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	WTSL	B	1200	3.70	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WTW	B	5,000	37.41	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	WY	B	50,000	28.58	n/a	13-Sep	2,000.00	4.0
f JARROD MICHAEL FEINS	FID	WZGRF	S	150	0.97	n/a	n/a	0.00	0.0
CALA	041	XOM	S	375,820	89.15	n/a	n/a	11,274.60	3.0
TOTAL (Trade Date):								99,232.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/16	TUDOR INVESTORS	028	AWI	S	10,000	53.30	n/a	n/a	3.00 0.0
AO,CRT	09/16	TUDOR INVESTORS	028	AWI	S	10,000	53.30	n/a	n/a	300.00 3.0
AO,CRT	09/16	TUDOR INVESTORS	028	EMR	B	5,000	64.96	n/a	n/a	150.00 3.0
AO,CXL	09/16	TUDOR INVESTORS	028	EMR	B	5,000	64.96	n/a	n/a	1.50 0.0
AO,CXL	09/16	TUDOR INVESTORS	028	GM	B	10,000	36.23	n/a-2013-09-17		3.00 0.0
AO,CRT	09/16	TUDOR INVESTORS	028	GM	B	10,000	36.23	n/a-2013-09-17		300.00 3.0
AO,CRT	09/16	TUDOR INVESTORS	028	IR	S	10,000	64.28	n/a	n/a	300.00 3.0
AO,CXL	09/16	TUDOR INVESTORS	028	IR	S	10,000	64.28	n/a	n/a	3.00 0.0
AO,CXL	09/16	TUDOR INVESTORS	028	LOW	SS	5,000	46.83	n/a	n/a	1.50 0.0
AO,CRT	09/16	TUDOR INVESTORS	028	LOW	SS	5,000	46.83	n/a	n/a	150.00 3.0
AO,CRT	09/16	TUDOR INVESTORS	028	LPX	SS	5,000	17.57	n/a-2013-09-13		150.00 3.0
AO,CXL	09/16	TUDOR INVESTORS	028	LPX	SS	5,000	17.57	n/a-2013-09-13		1.50 0.0
AO,CRT	09/16	TUDOR INVESTORS	028	MAS	S	15,000	21.50	n/a	n/a	450.00 3.0
AO,CXL	09/16	TUDOR INVESTORS	028	MAS	S	15,000	21.50	n/a	n/a	4.50 0.0
AO,CRT	09/16	KORT	025	SEE	B	20,000	30.50	n/a	n/a	600.00 3.0
AO,CXL	09/16	KORT	025	SEE	B	20,000	30.50	n/a	n/a	600.00 0.0
AO,CXL	09/16	TUDOR INVESTORS	028	TKR	B	5,000	63.04	n/a	n/a	1.50 0.0
AO,CRT	09/16	TUDOR INVESTORS	028	TKR	B	5,000	63.04	n/a	n/a	150.00 3.0
AO,CRT	09/16	TUDOR INVESTORS	028	WNC	SS	10,000	11.51	n/a-2013-09-13		300.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	09/16	TUDOR INVESTORS	028	WNC	SS	10,000	11.51	n/a-2013-09-13	3.00 0.0

TOTAL (AO, CXL, CRT) :	2,227.50
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TOTAL (Trade Date) :	99,232.83
TOTAL (AO, CXL, CRT) :	2,227.50

TOTAL (RUN DATE) / NFS :	101,460.33
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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 17-Sep.
NONE

MRI Securities without Trade Activity on 17-Sep.
PKG, WBC

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)