



Daily Compliance Activity Report

Trade Date: 10/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|---------------|--------------|---------------|----------------|------------|
| f JOHN MICHAEL ZOLIDIS | FID | AAPL | B | 20 | 524.89 | n/a | n/a | 0.00 | 0.0 |
| LATEEF MGMT | 033 | AAPL | S | 200 | 508.71 | n/a | n/a | 64.00 | 32.0 |
| f MARC PAUL LUCHANSKY | FID | AAPL | B | 20 | 525.42 | n/a | n/a | 0.00 | 0.0 |
| SCOGGIN LLC | 041 | ACT | S | 46,000 | 147.54 | n/a | 21-Oct | 2,300.00 | 5.0 |
| f ANTHONY SUTERA | FID | ADHD | B | 1000 | 16.55 | n/a | n/a | 0.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | AEP | S | 3,000 | 45.06 | n/a | n/a | 120.00 | 4.0 |
| BRONSON POINT | 036 | AIZ | SS | 50,000 | 59.37 | n/a | n/a | 1,500.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | AMZN | S | 10 | 5.13 | n/a | n/a | 0.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | APD | S | 700 | 111.18 | n/a | n/a | 28.00 | 4.0 |
| ASCEND PARTNERS | 033 | ATI | C | 55,000 | 32.49 | n/a | 18-Oct | 1,650.00 | 3.0 |
| DC CAPITAL | 044 | ATI | S | 200,000 | 32.45 | n/a | 18-Oct | 8,000.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | ATRS | S | 3000 | 4.18 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | AXP | S | 25,000 | 81.06 | n/a | 17-Oct | non-brg | 4.0 |
| f MANNY I KORMAN | FID | BA | B | 50 | 19.03 | 2-Oct | 7-Oct | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BBW | S | 1500 | 7.09 | n/a | n/a | 0.00 | 0.0 |
| LATEEF MGMT | 033 | BDNPRE | B | 300 | 23.39 | n/a | n/a | 30.00 | 10.0 |

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|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| f JOHN MICHAEL ZOLIDIS | FID | BIG | B | 200 | 37.45 | n/a | n/a | 0.00 | 0.0 |
| BESSEMER INVESTMENT | 085 | BMV | S | 3,000 | 49.77 | n/a | n/a | 120.00 | 4.0 |
| COLUMBIA PARTNERS | 028 | BNNY | S | 37,800 | 47.60 | n/a | n/a | 1,512.00 | 4.0 |
| MACELLUM CAPITAL | 086 | BNNY | S | 10,497 | 48.55 | n/a | n/a | 314.91 | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BODY | S | 800 | 5.59 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | BSJF | S | 1076 | 26.92 | n/a | n/a | 0.00 | 0.0 |
| f IAN L MILLER | FID | BTU | S | 50 | 19.19 | n/a | n/a | 0.00 | 0.0 |
| MACELLUM CAPITAL | 086 | CAB | B | 20,100 | 63.84 | n/a | n/a | 603.00 | 3.0 |
| PCO CAPITAL MGMT. | 084 | CAKE | SS | 5,000 | 43.76 | n/a | 11-Oct | 150.00 | 3.0 |
| BESSEMER INVESTMENT | 085 | CBS | S | 434 | 59.62 | n/a | n/a | 17.36 | 4.0 |
| MERRILL ASSET/BLACKROCK | 085 | CB | S | 3,300 | 93.88 | n/a | n/a | 132.00 | 4.0 |
| LATEEF MGMT | 033 | CCK | B | 150 | 40.67 | n/a | n/a | 30.00 | 20.0 |
| KEYGROUP/KGLT | 040 | CNX | B | 6,400 | 38.51 | n/a | n/a | 256.00 | 4.0 |
| KEYGROUP/KGLT | 040 | CNX | C | 18,600 | 38.51 | n/a | n/a | 744.00 | 4.0 |
| B BUCK CAPITAL MGMT | | COH | C | 100,000 | 49.94 | n/a | 22-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COH | C | 73,900 | 50.39 | n/a | 22-Oct | non-brg | 4.0 |
| P.SCHOENFELD ASSET MGMT LLC | 041 | COLE | S | 25,000 | 12.80 | n/a | n/a | 1,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| DEPRINCE, RACE & ZOLLO | 093 | DAN | S | 25,000 | 23.35 | n/a | 21-Oct | 1,250.00 | 5.0 |
| MACELLUM CAPITAL | 086 | DECK | SS | 25,000 | 57.85 | n/a | n/a | 750.00 | 3.0 |
| P.SCHOENFELD ASSET MGMT LLC | 041 | DISH | S | 15,000 | 49.09 | n/a | n/a | 600.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DSW | B | 10,000 | 79.87 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DSW | B | 10,000 | 80.57 | n/a | n/a | non-brg | 4.0 |
| LATEEF MGMT | 033 | DVN | S | 650 | 65.58 | n/a | n/a | 90.00 | 16.0 |
| B BUCK CAPITAL MGMT | | EL | S | 52,620 | 71.98 | n/a | 9-Oct | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | EMC | S | 300 | 24.25 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | EMC | B | 20,000 | 24.09 | n/a | n/a | 800.00 | 4.0 |
| CAERUS GLOBAL | 041 | F | B | 25,181 | 17.60 | n/a | 21-Oct | 1,007.24 | 4.0 |
| SCOPUS FUND | 041 | F | B | 100,000 | 17.61 | n/a | 21-Oct | 4,000.00 | 4.0 |
| MACELLUM CAPITAL | 086 | GCO | B | 1,000 | 69.85 | n/a | n/a | 30.00 | 3.0 |
| MACELLUM CAPITAL | 086 | GCO | SS | 8,000 | 69.05 | n/a | n/a | 240.00 | 3.0 |
| LATEEF MGMT | 033 | GE | S | 250 | 26.05 | n/a | n/a | 30.00 | 12.0 |
| MOORE CAPITAL | 257 | GE | S | 75,000 | 26.02 | n/a | n/a | 2,250.00 | 3.0 |
| ARDSLEY PARTNERS | 280 | GM | B | 10,000 | 35.68 | n/a | 21-Oct | 500.00 | 5.0 |
| GUGGENHEIM GLOBAL TRADING | (GGT)251 | GRA | B | 2,500 | 90.25 | | n/a n/a | 75.00 | 3.0 |
| TUDOR INVESTORS | 028 | GWR | S | 3,000 | 99.12 | n/a | n/a | 90.00 | 3.0 |

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|------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|--------------|
| DELTEC ASSET MGMT. | 040 | HAL | B | 10,000 | 51.69 | n/a | n/a | 500.00 | 5.0 |
| NOKOMIS PARTNERS | 031 | HCOM | S | 985 | 27.01 | n/a | n/a | 29.55 | 3.0 |
| BESSEMER INVESTMENT | 085 | IBM | S | 4,507 | 174.20 | n/a | n/a | 180.28 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | INTC | S | 300 | 24.07 | n/a | n/a | 0.00 | 0.0 |
| ALLIANZ/NICOLAS APPLGATE | | 084 IPG | | S | 74,030 | 15.70 | n/a | n/a | 2,591.07 4.0 |
| B BUCK CAPITAL MGMT | | IP | B | 11,300 | 44.46 | n/a | 15-Oct | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | ISRG | S | 10 | 2.85 | n/a | n/a | 0.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | IWM | C | 100,000 | 110.84 | n/a | n/a | 5,000.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 085 | JLL | B | 6,900 | 86.92 | n/a | n/a | 276.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | KMP | S | 2,100 | 83.83 | n/a | n/a | 84.00 | 4.0 |
| BESSEMER INVESTMENT | 085 | KO | S | 10,116 | 38.95 | 7-Oct | 15-Oct | 404.64 | 4.0 |
| STRONG/MARK GRONET | 030 | LCC | B | 36,775 | 21.78 | n/a | 18-Oct | 1,471.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LEA | S | 35,000 | 75.57 | n/a | 21-Oct | non-brg | 4.0 |
| f DOUGLAS R ROGERS | FID | LGND | B | 83 | 54.53 | n/a | n/a | 0.00 | 0.0 |
| MACELLUM CAPITAL | 086 | LL | S | 5,000 | 107.56 | n/a | n/a | 150.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------------|-------------|----------|-------------|---------------|---------------|---------------|-------------|------------|
| f DAVID GEORGE BUCK | FID | LNKD | S | 10 | 4.30 | n/a | n/a | 0.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | MCD | S | 105,000 | 94.77 | 22-Oct | 22-Oct | 3,150.00 | 3.0 |
| PALISADE CAPITAL MANAGEMENT LLC | 025 | MTSN | B | 40,000 | 3.09 | | n/a n/a | 1,600.00 | 4.0 |
| KORTRIGHT CAPITAL PARTNERS | 025 | MWV | S | 15,000 | 38.66 | n/a | 1-Oct | 450.00 | 3.0 |
| BADGE CAPITAL | 030 | M | S | 1,000 | 44.41 | 30-Sep | 30-Sep | 35.00 | 4.0 |
| LOMAS CAPITAL | 040 | NAV | B | 50,000 | 37.68 | n/a | 11-Oct | 1,500.00 | 3.0 |
| f JASON ERIC COHEN | FID | NFLX | B | 40 | 356.77 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | NYCB | S | 3416 | 15.77 | n/a | n/a | 0.00 | 0.0 |
| LIONEYE CAPITAL | 040 | PCH | B | 10,000 | 42.47 | n/a | 22-Oct | 500.00 | 5.0 |
| KEY ASSET MGMT/VICTORY | 220 | PG | S | 117,140 | 79.70 | n/a | 21-Oct | 4,685.60 | 4.0 |
| f HARALAMBOS EFSTATHI | FID | PNRA | B | 5 | 5.90 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f LARA HUNT SMITH | FID | PNRA | B | 5 | 8.30 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | PNRA | B | 2000 | 163.31 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PNRA | B | 4 | 5.90 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | PNRA | B | 2 | 8.30 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | PNRA | B | 5 | 8.30 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | PNRA | B | 5 | 8.39 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f MICHAEL C PERILLO | FID | PNRA | B | 3 | 6.10 | 22-Oct | 11-Oct | 0.00 | 0.0 |
| f NICOLAS EVAN PAKLER | FID | PNRA | B | 4 | 6.00 | 22-Oct | 11-Oct | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|---------------|---------------|---------------|----------------|------------|
| LATEEF MGMT | 033 | POT | B | 500 | 31.68 | n/a | n/a | 50.00 | 10.0 |
| BESSEMER INVESTMENT | 085 | PSX | S | 1,001 | 64.76 | n/a | n/a | 40.04 | 4.0 |
| ROVER CAPITAL PARTNERS | 040 | QQQ | SS | 2,500 | 82.75 | n/a | n/a | 100.00 | 4.0 |
| MACELLUM CAPITAL | 086 | RH | B | 2,000 | 64.60 | n/a | n/a | 60.00 | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | RL | S | 50 | 164.95 | n/a | 17-Oct | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | R | B | 8,000 | 62.76 | n/a | 22-Oct | non-brg | 4.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | R | S | 10,000 | 62.72 | n/a | 22-Oct | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | SCSS | S | 70,000 | 18.14 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | SGGHD | B | 500 | 11.85 | n/a | n/a | 0.00 | 0.0 |
| MACELLUM CAPITAL | 086 | SIX | S | 15,000 | 34.91 | n/a | n/a | 450.00 | 3.0 |
| B BUCK CAPITAL MGMT | | SLM | S | 19,200 | 26.11 | n/a | 17-Oct | non-brg | 4.0 |
| ROVER CAPITAL PARTNERS | 040 | SPY | SS | 2,500 | 175.33 | n/a | n/a | 75.00 | 3.0 |
| B BUCK CAPITAL MGMT | | SSI | S | 20,000 | 20.49 | 30-Sep | 30-Sep | non-brg | 4.0 |
| BESSEMER INVESTMENT | 085 | TEG | S | 2,006 | 58.07 | n/a | n/a | 80.24 | 4.0 |
| MAIRS AND POWER INV | 030 | TGT | B | 20,000 | 64.97 | n/a | n/a | 1,000.00 | 5.0 |
| f MANNY I KORMAN | FID | VRTX | B | 3000 | 75.44 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|------------|----------|--------------|---------------|---------------|---------------|------------------|------------|
| LEVIN CAPITAL STRATEGIES | 041 | VZ | SS | 15,000 | 50.60 | n/a | n/a | 450.00 | 3.0 |
| B BUCK CAPITAL MGMT | | V | S | 2,500 | 200.82 | 25-Sep | 14-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WHR | B | 5,000 | 139.56 | n/a | n/a | non-brg | 3.0 |
| MACELLUM CAPITAL | 086 | WTW | B | 18,000 | 40.16 | n/a | n/a | 540.00 | 3.0 |
| COHE & STEERS | 041 | WY | S | 325,000 | 30.24 | n/a | 22-Oct | 13,000.00 | 4.0 |
| MOORE CAPITAL | 257 | WY | B | 75,000 | 30.34 | n/a | 22-Oct | 2,250.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | XLP | C | 75,000 | 42.00 | n/a | n/a | 3,750.00 | 5.0 |
| BESSEMER INVESTMENT | 085 | XOM | S | 2,536 | 87.39 | n/a | n/a | 101.44 | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 75,137.37 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|----------------------------|------|--------|-----|--------|-------|-----|----------|-----------------|
| AO,CXL | 10/21 | ALTIMETER CAPITAL MGMT. | 029 | EXPE | B | 50,000 | 48.10 | n/a | n/a | 2000.00 0.0 |
| AO,CRT | 10/21 | ALTIMETER CAPITAL MGMT. | 029 | EXPE | B | 50,000 | 48.10 | n/a | n/a | 2000.00 0.0 |
| AO,CRT | 10/21 | ALLIANZ/NICOLAS APPELEGATE | 084 | IPG | S | 66,900 | 15.80 | n/a | n/a | 2341.50 0.0 |
| AO,CXL | 10/21 | ALLIANZ/NICOLAS APPELEGATE | 084 | IPG | S | 66,900 | 15.80 | n/a | n/a | 0.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 2,341.50 |

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|------------------------|-----------|
| TOTAL (Trade Date) : | 75,137.37 |
| TOTAL (AO, CXL, CRT) : | 2,341.50 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 77,478.87 |
|---------------------------------|------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 22-Oct.

MCD, PNRA

MRI Securities without Trade Activity on 22-Oct.

VFC, MLI, HXL, KSU

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)