



Daily Compliance Activity Report

Trade Date: 09/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN M HICKEY	FID	AB	S	100	20.15	n/a	n/a	0.00	0.0
FRED ALGER MGMT	070	ACT	S	1,440	139.92	n/a	3-Sep	51.84	4.0
FRED ALGER MGMT	070	ADS	S	519	197.96	n/a	n/a	18.68	4.0
FRED ALGER MGMT	070	ALXN	S	1,544	111.80	n/a	n/a	55.58	4.0
f FRANCIS MICHAEL MCCA	FID	ASTX	S	500	8.47	n/a	n/a	0.00	0.0
CORTEX CAPITAL	031	BAC	S	200,000	14.37	n/a	3-Sep	6,000.00	3.0
KINGDON ASSET MGMT	041	BBBY	B	25,000	72.80	n/a	n/a	1,000.00	4.0
MACELLUM CAPITAL	086	BYD	S	40,000	11.99	n/a	n/a	1,200.00	3.0
HIGHBRIDGE CAP	041	CAB	SS	20,550	63.73	n/a	n/a	616.50	3.0
f JONATHAN RICHARD HAR	FID	CBK	B	4500	5.49	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	CY	B	50,000	11.38	n/a	n/a	2,000.00	4.0
f RYAN D MUELLER	FID	DAL	B	100	20.54	n/a	30-Aug	0.00	0.0
FARALLON CAP MGMT	040	DG	S	80,000	57.35	5-Sep	5-Sep	3,200.00	4.0
NEW VERNON	031	DXJ	B	100,000	46.36	n/a	n/a	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	EQIX	SS	3,000	176.66	n/a	n/a	90.00	3.0
SUFFOLK CAPITAL MGMT	040	ESI	B	2,200	29.16	n/a	n/a	81.00	3.5
f RYAN D MUELLER	FID	FCNTX	B	101	90.52	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	FOSL	B	143	114.43	n/a	n/a	0.00	0.0
CORTEX CAPITAL	031	FOSL	SS	8,000	114.08	n/a	n/a	240.00	3.0
B BUCK CAPITAL MGMT		FWM	B	2,100	22.94	n/a	n/a	non-brg	3.0
SCOPUS FUND	041	F	SS	50,000	17.21	n/a	5-Sep	2,000.00	4.0
HIGHBRIDGE CAP	041	GM	B	50,000	36.69	n/a	5-Sep	1,500.00	3.0
ROSEDALE CAPITAL	046	GM	S	10,000	36.42	n/a	5-Sep	400.00	4.0
SUFFOLK CAPITAL MGMT	040	GTLS	B	1,000	116.66	n/a	n/a	40.00	4.0
HIGHBRIDGE CAP	041	IVZ	B	15,000	31.18	n/a	n/a	450.00	3.0
SUFFOLK CAPITAL MGMT	040	JBLU	B	20,000	6.24	n/a	29-Aug	600.00	3.0
1798 CAP/LOMBARD ASSET	040	JCI	B	10,000	41.71	n/a	15-Aug	500.00	5.0
CASTLEROCK	040	JCP	B	50,000	14.30	21-Aug	27-Aug	2,000.00	4.0
EGS ASSOCIATES LP	091	JCP	B	5,000	13.71	21-Aug	27-Aug	250.00	5.0
RIDGECREST INV MGMT LLC	028	JCP	B	10,000	14.07	21-Aug	27-Aug	400.00	4.0
Õ Ryan Mueller		JCP	B	500	13.98	21-Aug	27-Aug	0.00	0.0
KENNEDY CAPITAL	046	JOSB	B	15,385	42.00	n/a	n/a	615.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HALCYON LLC	041	KMIWS	S	200,000	5.12	n/a	n/a	4,000.00	2.0
B BUCK CAPITAL MGMT		KMX	B	20,000	49.73	n/a	n/a	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	KO	B	67,600	38.37	n/a	29-Aug	2,704.00	4.0
SCOPUS FUND	041	LPX	B	50,000	16.68	n/a	5-Sep	2,000.00	4.0
TUDOR INVESTORS	028	LPX	SS	10,000	16.63	n/a	5-Sep	300.00	3.0
KORT	025	LPX	B	25,000	16.95	n/a	5-Sep	750.00	3.0
CASTLEROCK	040	MCD	B	6,200	95.87	5-Sep	5-Sep	248.00	4.0
PATTEN & PATTEN	025	MCD	B	100	95.55	5-Sep	5-Sep	5.00	5.0
WEXFORD CAPITAL	284	MCD	B	5,300	96.15	5-Sep	5-Sep	159.00	3.0
WHITE PINE CAPITAL	030	MCD	B	2,600	95.86	5-Sep	5-Sep	130.00	5.0
TIDE POINT CAPITAL	028	MGA	B	5,000	80.71	n/a	n/a	150.00	3.0
SUFFOLK CAPITAL MGMT	040	MRK	B	26,100	47.46	n/a	n/a	1,044.00	4.0
KINGDON ASSET MGMT	041	M	B	25,000	45.32	15-Aug	14-Aug	1,000.00	4.0
PATTEN & PATTEN	025	NUE	B	225	46.68	n/a	n/a	11.25	5.0
MACELLUM CAPITAL	086	ODP	S	170,000	4.31	n/a	n/a	3,400.00	2.0
RIDGECREST INV MGMT LLC	028	PAG	B	12,500	41.29	n/a	5-Sep	500.00	4.0
f CLIFFORD A LONGLEY	FID	SALE	B	4	36.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	25,600	25.38	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		SCSS	S	4,400	25.52	n/a	n/a	non-brg	2.0
	RBC CAPITAL MARKETS	040	SFD	S	20,000	33.91	n/a	n/a	800.00	4.0
	MACELLUM CAPITAL	273	SKX	S	16,000	31.26	n/a	n/a	480.00	3.0
f	CLIFFORD A LONGLEY	FID	SPY	S	1	166.13	n/a	n/a	0.00	0.0
	FARALLON CAP MGMT	040	SPY	SS	6,000	165.98	n/a	n/a	240.00	4.0
	T. ROWE PRICE	243	SUPX	S	13,900	24.07	n/a	n/a	556.00	4.0
	HIGHBRIDGE CAP	041	TPX	B	3,000	41.50	n/a	n/a	90.00	3.0
	DELTEC ASSET MGMT.	040	UAL	B	5,000	29.50	3-Sep	3-Sep	250.00	5.0
	ADAGE CAPITAL MGMT	030	URBN	S	20,000	41.89	n/a	n/a	600.00	3.0
B	BUCK CAPITAL MGMT		WCIC	B	1,700	14.93	n/a	n/a	non-brg	3.0
B	BUCK CAPITAL MGMT		WCIC	B	10,000	15.00	n/a	n/a	non-brg	4.0
	DC CAPITAL	044	WY	S	25,000	27.75	n/a	5-Sep	1,000.00	4.0
	NOMURA/ANGEL LANE PRINCIPAL	040	WY	S	30,000	27.54	n/a	5-Sep	900.00	3.0
	TUDOR INVESTORS	028	WY	B	10,000	27.48	n/a	5-Sep	300.00	3.0
	KAM ADVISORS LLC	041	XLF	S	178,215	19.83	n/a	n/a	5,346.45	3.0
TOTAL (Trade Date) :									54,272.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/04	CORTEX CAPITAL	031	JPM	B	50,000	52.00	n/a	2013-08-28	1500.00 3.0
AO,CXL	09/04	CORTEX CAPITAL	031	JPM	B	50,000	52.00	n/a	2013-08-28	2500.00 0.0
AO,CRT	09/03	AMBER CAPITAL	046	T	B	462,130	34.01	n/a	n/a	18485.20 0.0
AO,CXL	09/03	AMBER CAPITAL	046	T	B	462,130	34.01	n/a	n/a	18485.20 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00

TOTAL (Trade Date) :	54,272.70
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	53,272.70
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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 5-Sep.

DG, MCD

MRI Securities without Trade Activity on 5-Sep.

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)