



# Daily Compliance Activity Report

Trade Date: 11/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	AEO	SS	136,000	14.79	n/a	n/a	4,080.00	3.0
NEUBERGER BERMAN	036	AET	B	25,000	63.26	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		ANN	B	24,500	35.13	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANN	B	24,500	35.13	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANN	B	45,500	35.10	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANN	B	45,500	35.10	n/a	n/a	non-brg	4.0
SAC CHRIS C	041	ARNA	B	250,000	4.17	n/a	n/a	7,500.00	3.0
f CICILY S BACKUS	FID	ARP	S	2000	20.28	n/a	n/a	0.00	0.0
f LBP ENTERPRI SES INC	FID	ARP	S	2000	20.27	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	AUXL	B	9,935	17.87	n/a	n/a	357.66	4.0
f CICILY S BACKUS	FID	AXP	S	1000	82.04	n/a	5-Nov	0.00	0.0
PRIMECAP MGMT	084	BRKB	S	22,000	114.76	n/a	n/a	880.00	4.0
MAGNETAR FINANCIAL	031	CBS	B	72,118	59.37	n/a	n/a	3,605.90	5.0
SAC CHRIS C	041	CBS	B	50,000	59.49	n/a	n/a	1,500.00	3.0
FIFTH THIRD BANK/FREEMAN	047	CPWR	S	38,259	10.50	n/a	n/a	1,912.95	5.0
⚡ BUCK CAPITAL MGMT		CRMB	S	3,600	1.25	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	036	CSX	B	10,000	26.32	17-Oct	17-Oct	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JESSICA LYNN MEOLA	FID	CVGI	B	130	7.21	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	CVGI	S	2000	7.20	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	C	B	2000	48.60	n/a	5-Nov	0.00	0.0
f LEE F BACKUS	FID	C	B	2000	48.63	n/a	5-Nov	0.00	0.0
f LEE F BACKUS	FID	DAL	S	3000	27.19	23-Oct	4-Nov	0.00	0.0
BALYASNY ASSET MGMT	044	DECK	B	50,000	69.29	n/a	n/a	2,250.00	4.5
B BUCK CAPITAL MGMT		DECK	B	20,000	69.36	n/a	n/a	non-brg	4.0
PALISADE CAPITAL MANAGEMENT LLC	025	EADSY	B	10,000	18.10		n/a	n/a	400.00 4.0
WOODWAY FINANCIAL	031	EEP	S	75,000	30.06	n/a	n/a	3,750.00	5.0
B BUCK CAPITAL MGMT		ELLI	B	7,368	22.69	n/a	n/a	non-brg	3.0
PALISADE CAPITAL MANAGEMENT LLC	025	EXPD	S	5,000	42.55		n/a	6-Nov	200.00 4.0
B BUCK CAPITAL MGMT		EXPE	SS	34,000	59.44	n/a	n/a	non-brg	4.0
PALISADE CAPITAL MANAGEMENT LLC	025	FARM	S	5,000	17.31		n/a	n/a	200.00 4.0
f KELLY ELIZABETH CLIF	FID	FCSAX	B	27	14.69	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FCSAX	B	41	14.69	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	FCX	S	100	2.07	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FDP	S	29,100	26.92	n/a	n/a	1,164.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KELLY ELIZABETH CLIF	FID	FILEFX	B	47	10.57	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	57	10.57	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FINL	S	100,000	24.75	n/a	6-Nov	4,000.00	4.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	500	1.00	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FPCIX	B	85	10.53	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	57	10.53	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	S	64	15.63	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FSHBX	S	81	8.59	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	S	105	8.59	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	FUEL	B	100	45.00	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FVSAX	S	22	17.91	n/a	n/a	0.00	0.0
ZWEIG FUNDS	006	F	S	50,000	16.96	n/a	6-Nov	2,500.00	5.0
HERRING CREEK CAPITAL	040	GLW	B	84,000	16.52	n/a	n/a	2,520.00	3.0
B BUCK CAPITAL MGMT		GME	B	40,000	56.47	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	GM	B	25,000	36.91	n/a	6-Nov	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	37.26	n/a	6-Nov	450.00	3.0
B BUCK CAPITAL MGMT		HOS	SS	10,000	53.58	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ 11 P22</b>	<b>S</b>	<b>1,900</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
NEUBERGER BERMAN	036	HTZ	B	25,000	21.65	n/a	n/a	1,000.00	4.0
STERLING CAPITAL MGMT.	093	HTZ	B	132,400	21.67	n/a	n/a	5,958.01	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IP</b>	<b>B</b>	<b>12,000</b>	<b>43.44</b>	<b>n/a</b>	<b>25-Oct</b>	<b>non-brg</b>	<b>3.0</b>
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	64,500	7.59	n/a	4-Nov	1,935.00	3.0
NEUBERGER BERMAN	036	JPM	B	10,000	52.10	n/a	5-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KND</b>	<b>B</b>	<b>25,000</b>	<b>14.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KND</b>	<b>B</b>	<b>50,000</b>	<b>14.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MACELLUM CAPITAL	086	KSS	SS	36,000	58.04	n/a	n/a	1,080.00	3.0
SCOPUS FUND	041	LAD	B	17,136	64.81	n/a	n/a	685.44	4.0
LEVIN CAPITAL STRATEGIES	041	LCC	B	10,000	23.15	24-Oct	4-Nov	300.00	3.0
ADAGE CAPITAL MGMT	030	LTD	B	36,366	62.49	n/a	n/a	1,090.98	3.0
KINGDON ASSET MGMT	041	LTD	S	25,000	62.49	n/a	n/a	1,000.00	4.0
SAC CHRIS C	041	MCK	S	8,685	157.24	n/a	n/a	260.55	3.0
NEUBERGER BERMAN	036	MET	B	20,069	47.77	n/a	n/a	802.76	4.0
PALISADE CAPITAL MANAGEMENT LLC	025	MGI	B	5,000	20.83		n/a n/a	200.00	4.0
DISIPLINED GROWTH INV.	030	MIDD	B	6,900	223.40	n/a	n/a	345.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MPW</b>	<b>B</b>	<b>2000</b>	<b>13.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARGARET ANNE MCAULE</b>	<b>FID</b>	<b>MSO</b>	<b>B</b>	<b>300</b>	<b>2.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MWV</b>	<b>B</b>	<b>15,000</b>	<b>33.99</b>	<b>30-Oct</b>	<b>30-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>S</b>	<b>30,000</b>	<b>32.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC CHRIS C	041	NUVA	B	50,000	31.64	n/a	n/a	1,500.00	3.0
WOODWAY FINANCIAL	031	PAA	B	13,000	51.95	n/a	n/a	650.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PINC</b>	<b>B</b>	<b>1000</b>	<b>31.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PALISADE CAPITAL MANAGEMENT LLC025		PPSI	B	350	8.40		n/a	n/a	14.00 4.0
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>PSFAX</b>	<b>S</b>	<b>71</b>	<b>9.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PSFAX</b>	<b>S</b>	<b>91</b>	<b>9.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HAHN CAPITAL MANAGEMENT	084	PWR	B	200,000	30.29	n/a	n/a	10,000.00	5.0
PALISADE CAPITAL MANAGEMENT LLC025		QLYS	B	5,000	21.76		n/a	n/a	200.00 4.0
WILLIAMS TRADING/NEWBROOK	306	RL	S	41,745	179.89	n/a	6-Nov	1,669.80	4.0
NEUBERGER BERMAN	036	RRC	B	10,000	74.51	n/a	n/a	400.00	4.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>SAH</b>	<b>S</b>	<b>3000</b>	<b>22.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>SAH</b>	<b>S</b>	<b>1000</b>	<b>22.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>SCRH</b>	<b>S</b>	<b>500</b>	<b>0.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO / M&I FUNDS	047	SPLS	S	50,325	16.00	n/a	n/a	2,013.00	4.0
SAC CHRIS C	041	STJ	B	50,000	57.09	n/a	n/a	1,500.00	3.0
TYVOR CAPITAL LLC	031	SWY	B	10,000	34.17	n/a	n/a	300.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TPINX</b>	<b>B</b>	<b>38</b>	<b>13.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>VAC</b>	<b>S</b>	<b>3000</b>	<b>50.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WIX</b>	<b>B</b>	<b>1,000</b>	<b>16.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WIX</b>	<b>S</b>	<b>1,000</b>	<b>17.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>100</b>	<b>164.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>1200</b>	<b>164.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIFTH THIRD BANK/FREEMAN	047	XLFX	B	6,700	20.60	n/a	n/a	335.00	5.0
FIFTH THIRD BANK/FREEMAN	047	XLK	S	4,100	33.95	n/a	n/a	205.00	5.0
<b>f IOANNIS KOULOURIOTI</b>	<b>FID</b>	<b>XOOM</b>	<b>B</b>	<b>85</b>	<b>29.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XPO</b>	<b>B</b>	<b>42,700</b>	<b>20.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRONTIER	029	YELP	S	33,510	68.64	n/a	n/a	1,340.40	4.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>YOSN</b>	<b>S</b>	<b>4000</b>	<b>0.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f LEE F BACKUS	FID	YOSN	S	2000	0.23	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								75,105.45	

### 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,CXL	11/05	SYMPHONY ASSET	033	AME	B	4,473	47.86	n/a	n/a	0.00 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	AME	B	4,473	47.86	n/a	n/a	134.19 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	AMG	B	568	194.45	n/a	n/a	17.04 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	AMG	B	568	194.45	n/a	n/a	0.00 0.0
AO,CXL	11/05	BESSEMER INVESTMENT	085	APC	S	30,000	92.68	n/a	n/a	1200.00 0.0
AO,CRT	11/05	BESSEMER INVESTMENT	085	APC	S	30,000	92.68	n/a	n/a	1200.00 0.0
AO,CRT	11/05	FIFTH THIRD BANK/FREEMAN	047	BAC	B	7,500	13.95	n/a-2013-11-05		300.00 0.0
AO,CXL	11/05	FIFTH THIRD BANK/FREEMAN	047	BAC	B	7,500	13.95	n/a-2013-11-05		375.00 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	CBL	S	5,671	19.44	n/a	n/a	170.13 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	CBL	S	5,671	19.44	n/a	n/a	0.00 0.0
AO,	11/05	COLUMBUS CIRCLE	036	FANG	B	5,200	56.50	n/a	n/a	208.00 0.0
AO,CXL	11/04	SYMPHONY ASSET	033	FBHS	B	26,785	42.72	n/a	n/a	803.55 0.0
AO,	11/04	SYMPHONY ASSET	033	FBHS	B	26,785	42.72	n/a	n/a	803.55 0.0
AO,CXL	11/05	FIFTH THIRD BANK/FREEMAN	047	FTI	B	6,000	49.89	n/a	n/a	300.00 0.0
AO,CRT	11/05	FIFTH THIRD BANK/FREEMAN	047	FTI	B	6,000	49.89	n/a	n/a	240.00 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	IVZ	S	7,514	32.78	n/a	n/a	0.00 0.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/05	SYMPHONY ASSET	033	IVZ	S	7,514	32.78	n/a	n/a	225.42 0.0
AO,CRT	11/05	JSRG CAPITAL PARTNERS LP	084	LCC	B	10,000	22.50-2013-10-24-2013-11-04			300.00 3.0
AO,CXL	11/05	JSRG CAPITAL PARTNERS LP	084	LCC	B	10,000	22.50-2013-10-24-2013-11-04			500.00 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	NSM	B	3,605	50.27	n/a	n/a	108.15 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	NSM	B	3,605	50.27	n/a	n/a	0.00 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	PFG	B	5,740	47.70	n/a	n/a	172.20 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	PFG	B	5,740	47.70	n/a	n/a	0.00 0.0
AO,CRT	11/01	SHEFFIELD ASSET MGMT	031	RKT	B	37,500	107.21-2013-11-06-2013-11-06			1875.00 5.0
AO,CXL	11/01	SHEFFIELD ASSET MGMT	031	RKT	B	37,500	107.21-2013-11-06-2013-11-06			1500.00 0.0
AO,CRT	11/05	SYMPHONY ASSET	033	SKT	S	2,603	34.27	n/a	n/a	78.09 0.0
AO,CXL	11/05	SYMPHONY ASSET	033	SKT	S	2,603	34.27	n/a	n/a	0.00 0.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,153.22</b>
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TOTAL (Trade Date) :	75,105.45
TOTAL (AO, CXL, CRT) :	1,153.22

<b>TOTAL (RUN DATE) / NFS :</b>	<b>76,258.67</b>
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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 6-Nov.  
NONE

MRI Securities without Trade Activity on 6-Nov.  
RKT, ATI, ENDP, KORS

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)**