



Daily Compliance Activity Report

Trade Date: 11/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAM ADVISORS LLC	041	AA	C	400,000	9.22	n/a	n/a	12,000.00	3.0
MACELLUM CAPITAL	086	ANF	B	63,000	33.74	n/a	n/a	1,890.00	3.0
B BUCK CAPITAL MGMT		ANN	S	145,000	36.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	25,000	36.16	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ANN	S	50,000	35.95	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	50,000	36.63	n/a	n/a	non-brg	4.0
BMO / M&I FUNDS	086	ARO	B	12,900	10.29	n/a	n/a	516.00	4.0
FOUNDRY PARTNERS LLC	030	BAC	B	4,100	15.71	n/a	19-Nov	164.00	4.0
UNITED STATES PENSION	085	BA	S	36,508	136.00	28-Oct	13-Nov	1,460.32	4.0
MERRILL ASSET/BLACKROCK	085	BRKB	B	23,707	117.16	n/a	n/a	948.28	4.0
KAM ADVISORS LLC	041	CAT	C	30,000	82.61	n/a	n/a	900.00	3.0
LATEEF MGMT	033	CMCSK	S	200	47.33	n/a	n/a	40.00	20.0
CADIAN CAPITAL	041	CMG	B	2,000	537.75	n/a	30-Oct	60.00	3.0
FRED ALGER MGMT	300	C	S	925	52.16	n/a	19-Nov	33.30	4.0
f YANAI A FRANK	FID	DVA	B	180	56.39	n/a	n/a	0.00	0.0
FIRST INV MGMT CO	006	DVN	B	9,200	62.60	n/a	n/a	460.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ELLI	S	519	28.00	n/a	n/a	non-brg	4.0
FOUNDRY PARTNERS LLC	030	EL	B	14,565	74.90	18-Nov	18-Nov	582.60	4.0
LATEEF MGMT	033	ENR	S	150	109.20	n/a	6-Nov	36.00	24.0
B BUCK CAPITAL MGMT		FINL	S	14,800	26.50	n/a	20-Nov	non-brg	2.0
B BUCK CAPITAL MGMT		FINL	S	16,195	26.39	n/a	20-Nov	non-brg	3.0
B BUCK CAPITAL MGMT		FINL	S	20,000	26.31	n/a	20-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	S	50,000	26.50	n/a	20-Nov	non-brg	4.0
KENNEDY CAPITAL	046	FINL	B	40,000	26.61	n/a	20-Nov	1,600.00	4.0
MACELLUM CAPITAL	086	FL	B	126,000	38.47	n/a	22-Nov	3,780.00	3.0
METROPOLITAN CAPITAL	044	FL	S	18,503	38.43	n/a	22-Nov	925.15	5.0
ROARING BLUE LION MGMT	031	FL	S	14,200	38.26	n/a	22-Nov	568.00	4.0
f CHRISTOPHER ROBERT C	FID	FSCGX	B	107	46.76	n/a	n/a	0.00	0.0
FORTRESS INVESTMENT (US)	036	FXI	B	100,000	39.90	n/a	n/a	3,000.00	3.0
SUFFOLK CAPITAL MGMT	040	GEOS	B	700	96.47	n/a	n/a	28.00	4.0
LATEEF MGMT	033	GE	S	500	27.02	n/a	n/a	50.00	10.0
CAERUS GLOBAL	041	GM	B	9,165	37.96	n/a	21-Nov	366.60	4.0
FRED ALGER MGMT	300	GM	B	159,400	38.01	n/a	21-Nov	5,738.40	4.0
MOORE CAPITAL	257	GM	B	25,000	37.90	n/a	21-Nov	750.00	3.0
PIMCO	084	GM	B	80,000	38.39	n/a	21-Nov	1,600.00	2.0
SUFFOLK CAPITAL MGMT	040	GM	B	70,100	38.23	n/a	21-Nov	2,804.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		GOMO	B	500	11.22	n/a	n/a	non-brg	0.0
Ⓕ BUCK CAPITAL MGMT		GOMO	S	500	14.11	n/a	n/a	non-brg	2.5
Ⓕ BUCK CAPITAL MGMT		GPS	SS	65,000	40.84	n/a	n/a	non-brg	3.0
MERRILL ASSET/BLACKROCK	085	HCN	S	5,009	58.41	n/a	n/a	200.36	4.0
NOKOMIS PARTNERS	031	HCOM	S	7,000	29.61	n/a	n/a	210.00	3.0
MERRILL ASSET/BLACKROCK	085	HCP	B	4,027	38.66	n/a	n/a	161.08	4.0
FRED ALGER MGMT	300	IDIX	S	79,318	4.73	n/a	n/a	2,379.54	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	ININ		S	12,553	64.10	n/a	n/a	251.06	2.0
Ⓕ MANNY I KORMAN	FID	IP	B	4000	46.25	n/a	21-Nov	0.00	0.0
S.A.C. CAPITAL	044	IP	SS	60,000	46.72	n/a	21-Nov	1,800.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	JACK		S	17,695	48.30	n/a	n/a	353.90	2.0
COUGAR TRADING	044	JBLU	B	25,000	9.14	n/a	4-Nov	1,250.00	5.0
LATEEF MGMT	033	JCI	S	450	50.46	21-Nov	21-Nov	45.00	10.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	JLL		S	9,746	97.77	n/a	n/a	194.92	2.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	57.43	n/a	19-Nov	2,500.00	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	KERX		S	94,292	12.79	n/a	n/a	1,885.84	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORTRIGHT CAPITAL PARTNERS	025	LPX	B	100,000	16.02	n/a	22-Nov	3,000.00	3.0
PENNANT CAP MGMT	250	MDP	B	50,000	52.63	n/a	n/a	1,500.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MINI		S	25,022	40.01	n/a	n/a	500.44 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MKTG		S	64,186	16.17	n/a	n/a	1,283.72 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	MMS		S	17,609	45.79	n/a	n/a	352.18 2.0
EATON VANCE MGMT	029	MRK	B	110,000	48.96	n/a	n/a	3,300.00	3.0
NOKOMIS PARTNERS	031	NTLS	SS	30,383	21.06	n/a	n/a	911.49	3.0
B BUCK CAPITAL MGMT		NVGS	B	25,000	19.83	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OAS		S	13,859	48.11	n/a	n/a	277.18 2.0
ARDSLEY PARTNERS	280	ODP	B	50,000	5.21	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	085	ONB	B	30,900	15.51	n/a	n/a	1,236.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	OSIS		S	13,880	75.13	n/a	n/a	277.60 2.0
CADIAN CAPITAL	041	PNRA	S	5,500	179.80	n/a	30-Oct	165.00	3.0
f LARA HUNT SMITH	FID	PNRA	S	5	15.45	n/a	30-Oct	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PNRA	S	2	11.80	n/a	30-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	PNRA	S	10	17.57	n/a	30-Oct	0.00	0.0
f MICHAEL ALEXANDER SM	FID	PNRA	S	15	18.29	n/a	30-Oct	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MICHAEL ALEXANDER SM	FID	PNRA	S	4	17.61	n/a	30-Oct	0.00	0.0
f	DAVID GEORGE BUCK	FID	POST	B	4000	47.21	n/a	n/a	0.00	0.0
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	PRIM	S	26,920	27.89	n/a	n/a	538.40	2.0
	FRED ALGER MGMT	300	PTLA	S	51,200	23.74	n/a	n/a	1,843.20	4.0
	BASSWOOD PARTNERS	267	RDC	B	8,859	35.71	n/a	n/a	354.36	4.0
B	BUCK CAPITAL MGMT		RH	S	50,000	74.50	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		RH	S	9,510	74.63	n/a	n/a	non-brg	4.0
	SUFFOLK CAPITAL MGMT	040	RL	B	7,400	173.00	n/a	7-Nov	296.00	4.0
B	BUCK CAPITAL MGMT		ROST	S	100,500	73.95	n/a	22-Nov	non-brg	3.0
	MACELLUM CAPITAL	086	ROST	SS	32,064	74.41	n/a	22-Nov	961.92	3.0
	MERRILL ASSET/BLACKROCK	085	SBY	B	6,500	16.04	n/a	n/a	260.00	4.0
	INTERVAL PARTNERS	033	SGMS	B	20,000	17.51	n/a	n/a	600.00	3.0
B	BUCK CAPITAL MGMT		SIG	S	10,000	77.23	n/a	n/a	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	041	SPLS	B	50,000	15.51	n/a	n/a	1,500.00	3.0
	IMPALA ASSET MMT	040	SPY	B	133,008	180.62	n/a	n/a	6,650.40	5.0
	JETSTREAM GLOBAL FUND LP	065	SPY	S	108,500	180.38	n/a	n/a	5,425.00	5.0
	FRED ALGER MGMT	300	THOR	S	17,346	41.74	n/a	n/a	624.46	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		VNCE	B	10,000	27.50	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VNCE	B	25,000	20.00	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		VNCE	S	25,000	29.50	n/a	n/a	non-brg	2.5
PENNANT CAP MGMT	250	VPRT	B	26,000	57.05	n/a	n/a	780.00	3.0
LOMAS CAPITAL	040	WEN	SS	85,000	8.67	n/a	30-Oct	2,550.00	3.0
MADISON ST PARTNERS LLC	046	WFC	S	12,500	44.31	n/a	15-Nov	625.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	125,000	79.78	15-Nov	15-Nov	3,750.00	3.0
CSL ASSOCIATES	006	WNC	B	10,000	11.60	n/a	22-Nov	400.00	4.0
INTERVAL PARTNERS	033	WSM	C	11,600	59.18	n/a	n/a	348.00	3.0
TOTAL (Trade Date) :								93,342.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/21	CAERUS GLOBAL	041	GM	S	400	39.00	n/a	2013-11-21	16.00 0.0
AO,CXL	11/21	CAERUS GLOBAL	041	GM	S	400	39.00	n/a	2013-11-21	16.00 0.0
AO,CXL	11/21	FIRST NEW YORK	086	NOK	B	20,000	7.93	n/a	n/a	1000.00 0.0
AO,CRT	11/21	FIRST NEW YORK	086	NOK	B	20,000	7.93	n/a	n/a	800.00 0.0
TOTAL (AO, CXL, CRT) :										-200.00

TOTAL (Trade Date) :	93,342.70
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS :	93,142.70
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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 22-Nov.
NONE

MRI Securities without Trade Activity on 22-Nov.
SSI, CL, DLTR

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)