



Daily Compliance Activity Report

Trade Date: 12/30/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AA	S	750	10.58	n/a	n/a	60.00	8.0
FRED ALGER MGMT	300	AIG	B	2,440	51.03	n/a	n/a	87.84	4.0
B BUCK CAPITAL MGMT		ALK	SS	7,000	71.98	n/a	23-Dec	non-brg	4.0
ZWEIG FUNDS	006	CMI	B	2,500	139.81	n/a	19-Dec	125.00	5.0
Õ Jack Chernus		CS	S	3352	30.70	n/a	n/a	0.00	0.0
f BRIAN P CLIFFORD	FID	CWTR	S	2500	0.72	n/a	n/a	0.00	0.0
FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.33	n/a	17-Dec	600.00	3.0
STANDARD PACIFIC CAPITAL	084	DAR	S	94,250	20.89	n/a	n/a	4,712.50	5.0
ROVER CAPITAL PARTNERS	040	DIS	SS	4,375	75.43	n/a	n/a	175.00	4.0
Õ Jack Chernus		DO	S	500	56.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	5,000	74.36	5-Dec	10-Dec	non-brg	3.0
SCOPUS FUND	041	GM	S	50,000	40.81	n/a	23-Dec	2,000.00	4.0
f YANAI A FRANK	FID	HLF	S	10	0.20	n/a	n/a	0.00	0.0
SCOPUS FUND	041	KS	S	27,900	56.92	n/a	n/a	1,116.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROVER CAPITAL PARTNERS	040	MMM	SS	2,000	139.34	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		MVRX	SS	195,000	319.77	n/a	n/a	non-brg	25.6
Õ Jack Chernus		NEM	S	500	22.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NVGS	S	27,057	26.29	n/a	n/a	non-brg	4.0
ROVER CAPITAL PARTNERS	040	PAYX	SS	3,000	45.58	n/a	n/a	120.00	4.0
SCOPUS FUND	041	PETM	B	15,000	73.20	n/a	n/a	600.00	4.0
Õ Jack Chernus		PSK	S	1300	39.26	n/a	n/a	0.00	0.0
Õ Jack Chernus		RIG	B	600	48.87	n/a	n/a	0.00	0.0
WELCH CAPITAL	025	SPF	S	37,500	9.01	n/a	n/a	1,500.00	4.0
Õ Jack Chernus		SPY	S	500	183.71	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	SVU	B	130,000	7.02	n/a	n/a	3,900.00	3.0
f BRIAN P CLIFFORD	FID	XLP	B	500	42.94	n/a	n/a	0.00	0.0
ROVER CAPITAL PARTNERS	040	XOM	SS	2,500	101.43	n/a	n/a	100.00	4.0
B BUCK CAPITAL MGMT		XRT	C	720,000	87.85	n/a	n/a	non-brg	1.0

TOTAL (Trade Date):

15,176.34

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/27	NOMURA/ANGEL LANE PRINCIPAL	040	AA	B	200,000	10.54	n/a	n/a	6000.00 0.0
AO,	12/27	NOMURA/ANGEL LANE PRINCIPAL	040	AA	B	200,000	10.54	n/a	n/a	6000.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	15,176.34
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	15,176.34
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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 30-Dec.
NONE

MRI Securities without Trade Activity on 30-Dec.
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)