



Daily Compliance Activity Report

Trade Date: 01/03/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	4,000	547.99	n/a	n/a	non-brg	3.0
PRIMECAP MGMT	084	BBRY	B	28,000	7.62	n/a	n/a	840.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	1700	7.54	n/a	n/a	0.00	0.0
KAM ADVISORS LLC	041	BEAV	S	14,500	85.94	n/a	n/a	435.00	3.0
STRONG/MARK GRONET	030	BRCD	S	30,000	8.83	n/a	n/a	900.00	3.0
DAVIDSON KEMPNER ADVISOR	281	CAB	C	10,000	65.92	n/a	n/a	500.00	5.0
KAM ADVISORS LLC	041	CAT	S	36,800	89.88	n/a	n/a	1,104.00	3.0
STRONG/MARK GRONET	030	CBB	S	40,000	3.62	n/a	n/a	1,200.00	3.0
f FRANCIS MICHAEL MCCA	FID	CHRW	B	150	57.08	n/a	19-Dec	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CMI	S	50	139.85	n/a	19-Dec	0.00	0.0
KAM ADVISORS LLC	041	DD	C	13,500	63.94	n/a	n/a	405.00	3.0
CADIAN CAPITAL	041	EAT	S	45,000	45.63	n/a	n/a	1,350.00	3.0
KAM ADVISORS LLC	041	EMN	SS	18,100	80.37	n/a	n/a	543.00	3.0
KAM ADVISORS LLC	041	FDX	B	11,300	140.41	17-Dec	19-Dec	339.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	FIVE	B	30,000	43.38	5-Dec	6-Dec	1,200.00	4.0
SENATOR INVESTMENT GROUP	287	FTI	B	98,640	51.69	n/a	n/a	2,959.20	3.0
BRONSON POINT	036	F	C	125,000	15.48	n/a	3-Jan	3,750.00	3.0
OZ MGMT	040	F	C	121,399	15.51	n/a	3-Jan	1,213.99	1.0
PECONIC PARTNERS	036	F	SS	500,000	15.39	n/a	3-Jan	25,000.00	5.0
CORTEX CAPITAL	031	GES	B	25,000	31.18	n/a	5-Dec	750.00	3.0
f MANNY I KORMAN	FID	GILD	B	5000	75.06	n/a	n/a	0.00	0.0
OZ MGMT	040	GM	B	150,000	39.70	n/a	3-Jan	4,500.00	3.0
TIDE POINT CAPITAL	028	GM	B	35,000	39.31	n/a	3-Jan	1,050.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	GNC	B	90	56.42	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	GPN	B	823	66.30	23-Dec[i]	26-Dec	32.92	4.0
f DAVID GEORGE BUCK	FID	GS	B	150	178.68	n/a	11-Dec	0.00	0.0
f DAVID GEORGE BUCK	FID	GS	B	515	92.62	n/a	11-Dec	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	GS	B	100	178.63	n/a	11-Dec	0.00	0.0
f JASON ERIC COHEN	FID	HLF	B	10	2.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HTZ 6 P27	SS	1,000	1.96	n/a	n/a	non-brg	250.0
f DAVID GEORGE BUCK	FID	LNKD	S	10	4.43	n/a	n/a	0.00	0.0
CADIAN CAPITAL	041	MCD	SS	90,000	96.72	n/a	9-Dec	2,700.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	MHK	B	8,900	149.72	n/a	n/a	267.00	3.0
f FRANCIS MICHAEL MCCA	FID	MNK	B	100	51.51	n/a	2-Jan	0.00	0.0
BADGE CAPITAL	030	MUA	B	2,000	11.58	n/a	n/a	70.00	4.0
f ABRAM M CHAPPELL	FID	ORN	B	420	11.93	n/a	n/a	0.00	0.0
KAM ADVISORS LLC	041	PCP	B	4,800	268.15	n/a	n/a	144.00	3.0
CADIAN CAPITAL	041	PETM	SS	29,000	72.11	n/a	n/a	870.00	3.0
DAVIDSON KEMPNER ADVISOR	281	PETM	SS	12,500	71.91	n/a	n/a	625.00	5.0
DAVIDSON KEMPNER ADVISOR	281	RAD	SS	250,000	5.43	n/a	n/a	5,000.00	2.0
DONALD SMITH	088	RCL	S	28,400	47.28	n/a	n/a	852.00	3.0
INTERVAL PARTNERS	033	SBH	B	15,000	30.67	n/a	n/a	450.00	3.0
CADIAN CAPITAL	041	SBUX	SS	13,000	77.28	n/a	2-Jan	390.00	3.0
CORTEX CAPITAL	031	SFM	SS	20,000	36.92	n/a	n/a	600.00	3.0
PRIMECAP MGMT	084	SGEN	B	3,000	39.50	n/a	n/a	120.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	SIRI	B	1400	3.57	n/a	n/a	0.00	0.0
CASTLEROCK	040	SONC	B	21,235	19.72	n/a	3-Jan	849.40	4.0
B BUCK CAPITAL MGMT		SPN 6 C30	B	1,000	0.80	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	TIP	S	150	110.24	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	TIP	S	20	110.22	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	TSRO	S	2,385	25.98	n/a	n/a	95.40	4.0
B BUCK CAPITAL MGMT		WGO	B	50,000	26.97	n/a	n/a	non-brg	4.0
HOLLIS CAPITAL	033	WLL	S	7,000	58.71	n/a	n/a	350.00	5.0
FRONTFOUR CAPITAL	046	WNC	B	50,000	12.36	n/a	19-Dec	1,500.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	WYNN	B	25	196.94	n/a	n/a	0.00	0.0
TYVOR CAPITAL LLC	031	ZUMZ	B	3,790	25.93	n/a	n/a	113.70	3.0
TOTAL (Trade Date):								63,068.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									63,068.61
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									63,068.61
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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 3-Jan.
NONE

MRI Securities without Trade Activity on 3-Jan.
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)