



Daily Compliance Activity Report

Trade Date: 12/24/2013

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	10,000	569.07	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	AMRN	S	10	0.01	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	ARR	B	10000	3.93	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	AXL	SS	30,000	20.33	n/a	23-Dec	900.00	3.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.17	n/a	23-Dec	400.00	4.0
f KEVIN MICHAEL O'GORM	FID	BBRY	S	1000	7.69	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL	040	BSX	B	44,879	11.94	n/a	n/a	1,346.37	3.0
FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.62	n/a	17-Dec	400.00	2.0
KAYNE ANDERSON ADV	084	EFX	S	1,570	68.71	n/a	n/a	62.80	4.0
KAYNE ANDERSON ADV	084	EW	B	1,525	65.50	n/a	n/a	61.00	4.0
f CHARLES MAXWELL KAIC	FID	FBNIQ	S	1665	0.10	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	FBNIQ	S	1517	0.10	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	FBNIQ	S	1857	0.10	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	FBNIQ	S	5000	0.10	n/a	n/a	0.00	0.0
HARVEST MGMT	029	HIBB	B	2,500	67.19	n/a	n/a	100.00	4.0
WADDELL AND REED	047	HOG	S	12,200	68.91	n/a	n/a	488.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK ANTHONY GRONET	FID	HSBC	B	1000	54.47	n/a	n/a	0.00	0.0
KAYNE ANDERSON ADV	084	ITW	B	20,200	83.45	n/a	n/a	808.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	8.47	n/a	4-Dec	1,500.00	3.0
f KATHERINE L O'GORMAN	FID	KEG	S	2600	7.79	n/a	n/a	0.00	0.0
BRONSON POINT	036	LPX	S	50,000	18.84	n/a	20-Dec	1,500.00	3.0
f COLE THOMAS KAICHER	FID	MTG	S	500	8.45	n/a	n/a	0.00	0.0
HARVEST MGMT	029	M	S	10,000	52.71	n/a	2-Dec	400.00	4.0
B BUCK CAPITAL MGMT		NVGS	S	20,479	26.35	n/a	n/a	non-brg	3.0
f MARK ANTHONY GRONET	FID	PDI	B	1000	30.33	n/a	n/a	0.00	0.0
HARVEST MGMT	029	PIR	B	10,000	23.49	n/a	n/a	400.00	4.0
DONALD SMITH	088	RCL	S	4,514	47.49	n/a	n/a	135.42	3.0
KAYNE ANDERSON ADV	084	SBNY	B	2,125	108.62	n/a	n/a	85.00	4.0
B BUCK CAPITAL MGMT		SPN	B	20,000	25.71	n/a	n/a	non-brg	4.0
f COLE THOMAS KAICHER	FID	TIVO	S	400	12.91	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	TWTR	S	50	70.45	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	UAL	B	100	37.18	n/a	23-Dec	0.00	0.0
f MARK ANTHONY GRONET	FID	VRNG	S	3000	2.92	n/a	n/a	0.00	0.0
KAYNE ANDERSON ADV	084	WAT	S	1,000	99.49	n/a	n/a	40.00	4.0
FRONTFOUR CAPITAL	046	WNC	B	10,000	12.43	n/a	19-Dec	200.00	2.0
KAYNE ANDERSON ADV	084	XRAY	S	2,055	48.77	n/a	n/a	82.20	4.0
TOTAL (Trade Date):								8,908.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/23	IMPALA ASSET MMT	040	BLL	S	45,000	50.85	n/a	n/a	2250.00 0.0
AO,	12/23	IMPALA ASSET MMT	040	CRR	S	10,000	114.33	n/a	n/a	500.00 0.0
AO,CXL	12/23	OSTERWEIS CAPITAL	084	DLR	B	50,590	48.35	n/a	n/a	2529.50 0.0
AO,	12/23	OSTERWEIS CAPITAL	084	DLR	B	50,590	48.35	n/a	n/a	2529.50 0.0
AO,	12/23	IMPALA ASSET MMT	040	NM	B	330,000	10.39	n/a	n/a	9900.00 0.0
AO,	12/23	IMPALA ASSET MMT	040	SWFT	B	100,000	22.09	n/a-2013-12-19		4000.00 0.0
TOTAL (AO, CXL, CRT) :										16,650.00

TOTAL (Trade Date):	8,908.79
TOTAL (AO, CXL, CRT):	16,650.00

TOTAL (RUN DATE) / NFS:	25,558.79
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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 24-Dec.
NONE

MRI Securities without Trade Activity on 24-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)