



# Daily Compliance Activity Report

Trade Date: 01/07/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERELLA WEINBERG	085	AET	S	20,600	68.32	n/a	n/a	1,030.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	AGO	B	11,000	23.10	n/a	n/a	330.00	3.0
SCOPUS FUND	041	ALV	SS	25,000	90.63	n/a	31-Dec	1,000.00	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>BBW</b>	<b>B</b>	<b>1300</b>	<b>7.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	BEN	B	3,000	57.33	n/a	n/a	90.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>500</b>	<b>16.47</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	BONT	S	5,000	16.79	n/a	6-Jan	200.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	BPOP	B	6,500	27.90	n/a	n/a	195.00	3.0
SCOPUS FUND	041	CE	B	22,860	54.73	n/a	n/a	914.40	4.0
DELTEC ASSET MGMT.	040	DAL	B	30,000	28.73	n/a	6-Jan	1,500.00	5.0
ZWEIG FUNDS	006	DAL	B	25,000	29.37	n/a	6-Jan	1,250.00	5.0
BRONSON POINT	036	DHR	B	50,000	76.33	n/a	n/a	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	DISH	B	8,800	56.82	19-Dec[i]	n/a	264.00	3.0
ARDSLEY PARTNERS	280	DLPH	B	10,000	60.23	n/a	n/a	500.00	5.0
S.A.C. CAPITAL	044	DLTR	S	20,000	56.66	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARKWEST	084	DNKN	B	34,300	46.57	n/a	13-Dec	1,372.00	4.0
CORTEX CAPITAL	031	DRI	B	20,000	52.58	n/a	n/a	600.00	3.0
SENATOR INVEST GROUP	287	ESRX	SS	125,000	69.74	n/a	n/a	3,750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPE</b>	<b>C</b>	<b>21,000</b>	<b>70.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAPITAL RESEARCH GROUP		296 FE		S	40,000	32.00	n/a	n/a	1,400.00 4.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>FWM</b>	<b>B</b>	<b>500</b>	<b>17.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIFTH THIRD BANK/FREEMAN	047	F	S	25,454	15.50	n/a	7-Jan	1,018.16	4.0
TUDOR INVESTORS	028	F	B	10,000	15.68	n/a	7-Jan	300.00	3.0
HERRING CREEK CAPITAL	040	GBX	C	17,980	32.01	n/a	n/a	539.40	3.0
J. GOLDMAN	028	GBX	S	6,500	32.09	n/a	n/a	260.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>200</b>	<b>1.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	GWR	S	4,000	94.41	n/a	n/a	120.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	HCN	B	3,900	54.35	n/a	n/a	117.00	3.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>HTZ</b>	<b>S</b>	<b>250</b>	<b>27.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MAPLE ROW	006	JBLU	B	20,000	8.66	n/a	7-Jan	600.00	3.0
PERELLA WEINBERG	085	JBLU	SS	24,200	8.61	n/a	7-Jan	847.00	4.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	B	318,125	8.68	n/a	7-Jan	9,543.75	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HAWK RIDGE	025	JBL	B	30,000	17.03	n/a	n/a	900.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	JGW		B	500	17.30	n/a	n/a	15.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	JKHY		SS	3,000	59.20	n/a	n/a	90.00	3.0
TUDOR INVESTORS	028	JWN	S	5,000	61.80	n/a	6-Jan	150.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	KIE		SS	4,000	61.91	n/a	n/a	120.00	3.0
WALL STREET CAPITAL	084	KORS	S	4,968	79.35	n/a	6-Jan	223.56	5.0
NOMURA/ANGEL LANE PRINCIPAL040	KRE		SS	12,500	40.13	n/a	n/a	375.00	3.0
T. ROWE PRICE	243	KS	B	32,465	54.07	n/a	n/a	1,298.60	4.0
NOMURA/ANGEL LANE PRINCIPAL040	LM		SS	4,000	44.08	n/a	n/a	120.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	LPX		SS	100,000	17.98	n/a	3-Jan	3,000.00	3.0
INTERVAL PARTNERS	033	MGM	SS	15,000	24.55	n/a	n/a	450.00	3.0
FIRST NY SEC/CHRIS	041	M	B	10,000	52.23	n/a	6-Jan	500.00	5.0
GAMCO ASSET MNGMT	025	M	B	8,580	51.96	n/a	6-Jan	257.40	3.0
NOMURA/ANGEL LANE PRINCIPAL040	NCR		B	8,200	34.46	n/a	n/a	246.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	NCT		B	36,000	5.84	n/a	n/a	1,080.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040	NNI		B	3,500	40.50	n/a	n/a	105.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	PACW	S	6,000	42.94	n/a	n/a	180.00	3.0
ARDSLEY PARTNERS	280	PHG	B	25,000	37.15	n/a	n/a	1,250.00	5.0
COLUMBUS CIRCLE	036	RATE	S	3,160	16.63	n/a	n/a	126.40	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	RDN	B	14,500	13.81	n/a	n/a	435.00	3.0
CAPITAL WORLD	084	RIG	S	185,405	48.98	n/a	n/a	6,489.18	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>RUSHA</b>	<b>B</b>	<b>66</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	SBRA	S	7,800	26.32	n/a	n/a	234.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	SLM	B	8,300	26.00	n/a	9-Dec	249.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	SLRC	B	9,200	22.57	n/a	n/a	276.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPN 6 C30</b>	<b>B</b>	<b>851</b>	<b>0.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
PERELLA WEINBERG	085	SWFT	S	10,000	20.91	n/a	26-Dec	500.00	5.0
ARDSLEY PARTNERS	280	TEN	B	10,000	55.78	n/a	n/a	500.00	5.0
TROUBH PART	070	TEVA	B	25,000	40.93	16-Dec	2-Jan	1,250.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	TICC	SS	20,000	10.30	n/a	n/a	600.00	3.0
ROYCE TRADING	031	TRN	S	3,500	54.81	n/a	n/a	175.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	UAL	B	38,150	39.55	n/a	23-Dec	1,144.50	3.0
PATRIOT STRATEGY PARTNERS	036	UAL	B	25,000	39.60	n/a	23-Dec	1,250.00	5.0
SENATOR INVEST GROUP	287	UAL	B	50,000	39.10	n/a	23-Dec	1,500.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	UMPQ	SS	9,400	19.07	n/a	n/a	282.00	3.0
TUDOR INVESTORS	028	VAL	S	5,000	72.00	n/a	n/a	150.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	VNTV	SS	12,500	32.38	n/a	19-Dec	375.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	WBS	SS	6,000	30.36	n/a	n/a	180.00	3.0
ROYCE TRADING	031	WD	B	5,000	16.00	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WGO</b>	<b>B</b>	<b>25,000</b>	<b>26.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	281	WTW	SS	75,000	32.38	n/a	n/a	3,750.00	5.0
CAERUS GLOBAL	041	WY	B	6,400	30.58	n/a	7-Jan	256.00	4.0
COUGAR TRADING	044	WY	B	15,000	30.70	n/a	7-Jan	750.00	5.0
COUGAR TRADING	044	WY	S	15,000	31.18	n/a	7-Jan	750.00	5.0
ROSEDALE CAPITAL	046	WY	B	10,000	30.57	n/a	7-Jan	400.00	4.0
KENBELLE LLC	028	XHB	SS	61,600	32.56	n/a	n/a	1,848.00	3.0
ROYCE TRADING	031	XPO	S	1,000	29.51	n/a	n/a	50.00	5.0
HALCYON LLC	041	XRX	B	100,000	12.20	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	X	SS	5,000	29.43	n/a	n/a	150.00	3.0

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**TOTAL (Trade Date):**

**67,121.35**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	01/06	FRONTFOUR CAPITAL	046	WNC	B	150,000	12.73	n/a-2013-12-19	4500.00 0.0
AO,CXL	01/06	FRONTFOUR CAPITAL	046	WNC	B	150,000	12.73	n/a-2013-12-19	4500.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	67,121.35
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>67,121.35</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 7-Jan.  
NONE

MRI Securities without Trade Activity on 7-Jan.  
JCI, STZ

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)**