



Daily Compliance Activity Report

Trade Date: 01/06/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Ravi Sadarangani		AAP	B	1500	1.34	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		AAP	B	1500	1.34	n/a	n/a	0.00	0.0
SAC CHRIS C	041	ABT	S	25,000	39.23	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	APA	S	130	86.05	n/a	n/a	5.20	4.0
f RAVI SADARANGANI	FID	APP	B	5000	1.34	n/a	n/a	0.00	0.0
CSL ASSOCIATES	006	BAC	S	15,000	16.68	n/a	18-Dec	450.00	3.0
f ANTHONY SUTERA	FID	BALT	S	2000	6.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	BDBD	S	1,500	15.15	n/a	n/a	75.00	5.0
BESSEMER INVESTMENT	085	BEAM	S	260	66.14	n/a	n/a	10.40	4.0
f EDWARD W WHEELER	FID	BGC	B	4600	28.38	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	281	BNNY	SS	7,500	43.26	n/a	n/a	375.00	5.0
EGS ASSOCIATES LP	091	BONT	SS	4,600	16.89	n/a	6-Jan	230.00	5.0
S.A.C. CAPITAL	044	BURL	SS	30,000	31.53	n/a	n/a	900.00	3.0
SURVEYOR CAPITAL	251	BURL	B	200	31.50	n/a	n/a	8.00	4.0
CSFB GLOBAL PROPRIETARY	041	CNW	B	20,000	37.64	n/a	19-Dec	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS	280	C	B	75,000	53.82	n/a	19-Dec	3,750.00	5.0
ZWEIG FUNDS	006	DAL	B	25,000	29.30	n/a	6-Jan	1,250.00	5.0
S.A.C. CAPITAL	044	DDS	SS	5,000	95.86	n/a	6-Jan	150.00	3.0
f YANAI A FRANK	FID	DVA	B	200	64.92	n/a	n/a	0.00	0.0
BRONSON POINT	036	EME	B	10,000	41.78	n/a	n/a	300.00	3.0
f MICHAEL MARRANO	FID	FEMKX	B	46	23.53	n/a	n/a	0.00	0.0
CAPITAL RESEARCH GROUP		296 FE		S	112,000	31.85	n/a	n/a	3,920.00 4.0
f MICHAEL MARRANO	FID	FKTIX	B	232	11.72	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FLPSX	B	29	49.24	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FNSXX	B	615225	1.00	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FNYTX	S	802	11.12	n/a	n/a	0.00	0.0
HIGHFIELDS CAP MGMT	030	FOXA	S	200,000	34.88	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		FTK	B	26,000	18.86	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	FXI	B	20,000	36.18	n/a	n/a	600.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	100,000	15.63	n/a	6-Jan	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	SS	500,000	15.64	n/a	6-Jan	15,000.00	3.0
CORTEX CAPITAL	031	GES	SS	30,000	31.03	n/a	n/a	900.00	3.0
f JASON ERIC COHEN	FID	GSK	S	10	53.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HDS	B	20,000	22.91	n/a	n/a	non-brg	3.0
INTERVAL PARTNERS	033	HOG	SS	20,000	68.71	n/a	n/a	600.00	3.0
f DAVID GEORGE BUCK	FID	HTZ	B	2500	28.28	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HTZ	B	400	28.31	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	HTZ	B	300	28.26	n/a	n/a	0.00	0.0
NUDGE CAPITAL FUND LP	006	JBLU	B	10,000	8.70	n/a	6-Jan	300.00	3.0
WEISS PECK/ROBECO/BOSTON PT			040 JBLU	S	539,130	8.74	n/a	6-Jan	21,565.20 4.0
COOPER CREEK PART	028	JCP	SS	25,000	8.58	n/a	6-Jan	750.00	3.0
S.A.C. CAPITAL	044	KSS	B	25,000	56.04	n/a	6-Jan	750.00	3.0
SCOPUS FUND	041	LBTYA	B	30,000	89.44	19-Dec[i]	19-Dec	1,200.00	4.0
FINDLAY PARK PART	085	LMCA	S	92,103	142.30	19-Dec[i]	6-Jan	19,658.73	21.0
S.A.C. CAPITAL	044	LOCK	B	15,000	16.34	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	LOW	S	60	48.42	n/a	n/a	2.40	4.0
f MICHAEL MARRANO	FID	MDNLX	B	544	10.36	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	MWV	SS	15,000	35.94	n/a	n/a	600.00	4.0
S.A.C. CAPITAL	044	M	B	10,000	53.21	n/a	6-Jan	300.00	3.0
f EDWARD W WHEELER	FID	NEWP	S	10000	17.52	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PEP	S	200	82.39	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	PG	S	400	80.53	n/a	2-Jan	16.00	4.0
f DAVID GEORGE BUCK	FID	PINC	S	400	36.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PINC	S	5000	36.50	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PINC	S	300	36.50	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	RATE	S	4,523	17.09	n/a	n/a	121.22	3.0
CAPITAL WORLD	084	RIG	S	110,295	48.83	n/a	n/a	3,860.33	4.0
CROWN ADVISORS	084	RIG	S	4,300	48.83	n/a	n/a	150.50	4.0
CADIAN CAPITAL	041	RL	B	9,000	176.04	n/a	6-Jan	270.00	3.0
CADIAN CAPITAL	041	SBH	B	33,000	30.56	n/a	n/a	990.00	3.0
f JASON ERIC COHEN	FID	SIRI	S	50	3.83	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	SMAIX	B	291	4.82	n/a	n/a	0.00	0.0
CASTLEROCK	040	SONC	B	5,000	19.19	n/a	6-Jan	100.00	2.0
B BUCK CAPITAL MGMT		SPN 6 C30	B	149	0.63	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	SPPI	B	3000	8.37	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TFCVX	B	4429	11.29	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	TFCVX	B	1771	11.29	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	TGT	B	10,000	63.00	n/a	19-Dec	300.00	3.0
S.A.C. CAPITAL	044	TJX	SS	7,000	63.02	n/a	6-Jan	210.00	3.0
f MICHAEL MARRANO	FID	TPINX	B	90	13.08	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	T	S	1,320	34.86	n/a	n/a	52.80	4.0
ROYCE TRADING	031	UFI	S	3,000	27.04	n/a	n/a	150.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	UFS	B	10,000	93.04	n/a	n/a	300.00	3.0
f DAVID GEORGE BUCK	FID	UNYBX	B	6488	11.56	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		V	B	15	221.26	n/a	19-Dec	0.00	0.0
ROYCE TRADING	031	WD	B	5,000	16.12	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		WGO	B	25,000	26.59	n/a	n/a	non-brg	4.0
FRONTFOUR CAPITAL	046	WNC	B	150,000	12.73	n/a	19-Dec	4,500.00	3.0
S.A.C. CAPITAL	044	XLB	SS	10,000	45.46	n/a	n/a	300.00	3.0
S.A.C. CAPITAL	044	XLI	SS	10,000	51.46	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		XPO	S	60,000	29.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		XPO	S	73,720	29.96	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	ZMH	S	1	93.31	n/a	n/a	0.04	4.0
f ANTHONY SUTERA	FID		B	30000	98.98	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	30000	106.65	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							98,728.82		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	01/03	CADIAN CAPITAL	041	SBUX	SS	13,000	77.28	n/a-2014-01-02	390.00 0.0
AO,CXL	01/03	CADIAN CAPITAL	041	SBUX	SS	13,000	77.28	n/a-2014-01-02	390.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	98,728.82
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	98,728.82
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/03	BUCK CAPITAL MGMT	HTZ 6 C31	B	1,000	1.94	n/a	n/a	2500.00 250.0

MRI Securities with Trade Activity on 6-Jan.
NONE

MRI Securities without Trade Activity on 6-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)