



Daily Compliance Activity Report

Trade Date: 02/13/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	8,100	34.39	29-Jan	12-Feb	324.00	4.0
J. GOLDMAN	028	AEO	B	800	13.35	n/a	n/a	32.00	4.0
FRED ALGER MGMT	300	ALNY	S	55	80.86	n/a	n/a	1.98	4.0
PRIMECAP MGMT	084	AMGN	S	10,000	123.58	n/a	n/a	400.00	4.0
FRED ALGER MGMT	300	ANN	S	375	33.27	n/a	n/a	13.50	4.0
FRED ALGER MGMT	300	ANSS	S	155	82.03	n/a	n/a	5.58	4.0
KLEINHEINZ CAP PART	031	AN	S	40,000	50.86	n/a	31-Jan	2,000.00	5.0
FRED ALGER MGMT	300	AOL	S	325	44.59	n/a	n/a	11.70	4.0
FRED ALGER MGMT	300	ATHN	S	125	183.99	n/a	n/a	4.50	4.0
EPOCH INV MGMT	030	BGS	B	148,382	28.38	n/a	n/a	4,451.46	3.0
f JOSEPH CIRO AMATURO	FID	BGS	B	2000	28.70	n/a	n/a	0.00	0.0
J. GOLDMAN	028	BJRI	C	12,500	28.77	17-Jan	17-Jan	500.00	4.0
CHARTERBRIDGE CAPITAL	025	CAB	B	63,999	61.89	n/a	n/a	1,919.97	3.0
ROVER CAPITAL PARTNERS	040	CAB	B	1,500	60.55	n/a	n/a	60.00	4.0
COUGAR TRADING	044	CAKE	B	8,000	45.51	n/a	13-Feb	400.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	CAKE	S	20,000	45.41	n/a	13-Feb	800.00	4.0
TWIN CAPITAL	041	CMCSA	B	10,000	53.60	n/a	13-Feb	300.00	3.0
B BUCK CAPITAL MGMT		CMI	S	9,000	138.98	n/a	7-Feb	non-brg	4.0
EPOCH INV MGMT	030	CNW	S	38,790	38.04	n/a	7-Feb	1,163.70	3.0
FARBER	006	DAL	S	4,800	31.11	22-Jan	12-Feb	192.00	4.0
FOUNDRY PARTNERS LLC	030	DAL	S	2,175	30.88	22-Jan	12-Feb	87.00	4.0
FARBER	006	DKS	S	6,000	51.50	n/a	10-Feb	240.00	4.0
TIDE POINT CAPITAL	028	DLPH	B	15,000	64.33	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		ETN	B	18,000	71.09	4-Feb	5-Feb	non-brg	4.0
f DONNA SAPIENZA	FID	FB	B	500	66.83	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	FWM	B	1000	7.50	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	GM	B	100,000	34.94	27-Jan	13-Feb	5,000.00	5.0
WOOSTER CAPITAL	044	GM	B	50,000	35.15	27-Jan	13-Feb	2,500.00	5.0
FRED ALGER MGMT	300	GNC	S	25,090	51.84	n/a	n/a	903.24	4.0
FRED ALGER MGMT	300	HUBB	S	245	119.98	n/a	n/a	8.82	4.0
f JONATHAN RICHARD HAR	FID	JBLU	B	3500	8.36	n/a	12-Feb	0.00	0.0
TIDE POINT CAPITAL	028	LEA	B	5,000	76.79	3-Feb	31-Jan	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	17.85	22-Jan	13-Feb	5,000.00	5.0
TIDE POINT CAPITAL	028	MGA	B	5,000	87.48	n/a	n/a	150.00	3.0
ADAGE CAPITAL MGMT	310	NLSN	SS	50,000	44.63	n/a	n/a	1,500.00	3.0
KEY ASSET MGMT/VICTORY	220	NLSN	B	126,392	44.78	n/a	n/a	5,055.68	4.0
PRIMECAP MGMT	084	NVS	S	3,000	81.95	n/a	n/a	120.00	4.0
FRED ALGER MGMT	300	PINC	S	255	34.20	n/a	n/a	9.18	4.0
ROVER CAPITAL PARTNERS	040	QQQ	SS	1,000	89.38	n/a	n/a	40.00	4.0
PLATTE RIVER CAPITAL	046	RAX	S	5,000	32.33	n/a	n/a	200.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	10,000	108.43	3-Feb	5-Feb	300.00	3.0
NEUBERGER BERMAN	036	ROG	B	4,100	57.90	n/a	n/a	164.00	4.0
B BUCK CAPITAL MGMT		SHLD	C	125,000	43.03	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	SKT	S	380	33.81	n/a	n/a	13.68	4.0
MOORE CAPITAL	257	SPY	B	50,000	182.41	n/a	n/a	1,500.00	3.0
ROVER CAPITAL PARTNERS	040	SPY	SS	1,000	182.39	n/a	n/a	40.00	4.0
TWO OCEAN CAPITAL	084	SSI	B	28,500	18.98	23-Jan	13-Feb	1,140.00	4.0
FRED ALGER MGMT	300	SSYS	S	240	118.21	n/a	n/a	8.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	SWFT	S	450	23.36	n/a	29-Jan	16.20	4.0
FRED ALGER MGMT	300	TDG	S	60	174.61	n/a	n/a	2.16	4.0
FRED ALGER MGMT	300	THOR	S	195	36.04	n/a	n/a	7.02	4.0
MSF CAPITAL (ENTRUST)	040	THO	B	17,620	52.44	n/a	n/a	881.00	5.0
FRED ALGER MGMT	300	TMHC	S	830	23.07	n/a	n/a	29.88	4.0
BMO / M&I FUNDS	047	TPH	B	15,556	16.89	n/a	24-Jan	622.24	4.0
WOOSTER CAPITAL	044	TRW	S	10,000	75.82	n/a	n/a	500.00	5.0
FRED ALGER MGMT	300	TSS	S	680	29.45	n/a	n/a	24.48	4.0
T. ROWE PRICE	243	TXI	S	10,500	80.04	n/a	n/a	420.00	4.0
f JONATHAN RICHARD HAR	FID	UAL	B	450	44.89	24-Jan	12-Feb	0.00	0.0
FRED ALGER MGMT	300	ULTI	S	80	162.75	n/a	n/a	2.88	4.0
NOKOMIS PARTNERS	031	USO	B	25,000	35.89	n/a	n/a	750.00	3.0
DAVIDSON KEMPNER ADVISOR	281	VFC	SS	12,500	59.94	24-Jan	12-Feb	625.00	5.0
B BUCK CAPITAL MGMT		WFM 5 P52.5	S	2,500	3.56	n/a	n/a	non-brg	300.0
FRED ALGER MGMT	300	WMGI	S	530	31.05	n/a	n/a	19.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTFOUR CAPITAL	046	WNC	S	10,000	12.82	n/a	7-Feb	300.00	3.0
NEW VERNON/SF INVESTMENTS	031	WNC	B	60,000	12.91	n/a	7-Feb	1,800.00	3.0
DAVIDSON KEMPNER ADVISOR	281	WSM	B	25,000	55.13	n/a	n/a	1,250.00	5.0
KING STREET CAPITAL	086	ZNGA	S	100,000	4.70	n/a	n/a	3,000.00	3.0
TOTAL (Trade Date) :								47,410.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									47,410.57
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									47,410.57

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 13-Feb.
NONE

MRI Securities without Trade Activity on 13-Feb.
WBC, PKG

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)