



# Daily Compliance Activity Report

Trade Date: 02/10/2014

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
APEX CAPITAL MGMT.	033	AAPL	B	200	519.87	n/a	n/a	8.00	4.0	
PRIMECAP MGMT	084	ABT	B	10,000	37.20	n/a	n/a	400.00	4.0	
f DONNA SAPIENZA	FID	AIG	B	500	48.81	n/a	n/a	0.00	0.0	
LAKEWOOD CAPITAL MGMT	085	AIG	B	7,000	48.90	n/a	n/a	210.00	3.0	
f MARIO SAPIENZA	FID	AIG	B	500	48.81	n/a	n/a	0.00	0.0	
APEX CAPITAL MGMT.	033	APA	B	800	81.15	n/a	n/a	32.00	4.0	
f WILLIAM J GAULT	FID	ARCI	S	5258	3.25	n/a	n/a	0.00	0.0	
CR INTRINIC INVESTMENT	044	BBY	SS	20,000	24.22	n/a	n/a	600.00	3.0	
ARDSLEY PARTNERS/RIDGECREST	306	BCOR	B	25,000	24.66		n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	BDSI	S	7000	8.99	n/a	n/a	0.00	0.0	
APEX CAPITAL MGMT.	033	BID	B	500	45.80	n/a	n/a	20.00	4.0	
EPOCH INV MGMT	030	BWS	B	37,467	23.74	n/a	n/a	1,124.01	3.0	
CASTLEROCK	040	CAKE	B	2,000	44.77	n/a	10-Feb	40.00	2.0	
APEX CAPITAL MGMT.	033	CF	B	300	233.72	n/a	n/a	12.00	4.0	
EVERGREEN	047	CHD	B	50,382	64.82	n/a	5-Feb	2,015.28	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	CHD	SS	45,811	64.79	n/a	5-Feb	1,832.44	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>20,000</b>	<b>47.54</b>	<b>n/a</b>	<b>24-Jan</b>	<b>non-brg</b>	<b>4.0</b>
CR INTRINIC INVESTMENT	044	CVS	B	10,000	66.84	n/a	n/a	300.00	3.0
FRED ALGER MGMT	300	CVS	B	215,623	66.76	n/a	n/a	7,762.43	4.0
LEVIN CAPITAL STRATEGIES	041	CWH	S	34,967	25.79	n/a	n/a	1,049.01	3.0
APEX CAPITAL MGMT.	033	CXO	B	700	107.34	n/a	n/a	28.00	4.0
CYRUS CAPITAL	025	DAL	S	100,000	31.01	22-Jan	22-Jan	3,000.00	3.0
J. GOLDMAN	028	DDS	C	15,000	86.69	23-Jan	23-Jan	600.00	4.0
ARDSLEY PARTNERS/RIDGECREST	306	DE	C	25,000	87.57		n/a	n/a	1,250.00 5.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>ECT</b>	<b>S</b>	<b>1500</b>	<b>9.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	033	EQIX	B	900	186.22	n/a	n/a	36.00	4.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>150</b>	<b>63.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	FL	B	36,400	38.46	n/a	5-Feb	1,092.00	3.0
FRED ALGER MGMT	300	FNGN	S	13,200	60.11	n/a	n/a	475.20	4.0
BARROW HANLEY MEWHINNEY	031	F	B	500,000	14.90	n/a	10-Feb	17,500.00	4.0
MOORE CAPITAL	257	GPS	B	24,000	41.85	28-Jan[i]	7-Feb	720.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	257	HOG	B	15,500	64.59	n/a	n/a	465.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HTZ</b>	<b>S</b>	<b>2500</b>	<b>26.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HTZ</b>	<b>S</b>	<b>400</b>	<b>26.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>HTZ</b>	<b>S</b>	<b>300</b>	<b>26.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	IP	B	10,000	47.86	n/a	5-Feb	300.00	3.0
<b>f MARIO SAPIENZA</b>	<b>FID</b>	<b>JBLU</b>	<b>B</b>	<b>2000</b>	<b>8.55</b>	<b>n/a</b>	<b>30-Jan</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	KSS	SS	10,000	50.72	23-Jan	6-Feb	300.00	3.0
HOLLIS CAPITAL	033	LGF	B	5,000	32.05	n/a	n/a	250.00	5.0
<b>f MARIO SAPIENZA</b>	<b>FID</b>	<b>MDR</b>	<b>S</b>	<b>1000</b>	<b>8.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	033	MELI	B	700	95.60	n/a	n/a	28.00	4.0
J. GOLDMAN	028	MON	SS	30,000	111.29	n/a	n/a	1,200.00	4.0
<b>f ANN M GAULT</b>	<b>FID</b>	<b>MUX</b>	<b>S</b>	<b>3000</b>	<b>2.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>MUX</b>	<b>S</b>	<b>10000</b>	<b>2.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>033</b>	<b>NBL</b>	<b>B</b>	<b>1,000</b>	<b>65.71</b>	<b>n/a</b>	<b>n/a</b>	<b>40.00</b>	<b>4.0</b>
APEX CAPITAL MGMT.	033	NFLX	B	900	428.97	n/a	n/a	36.00	4.0
SEVEN LOCKS CAPITAL	025	NRF	B	135,000	14.29	n/a	n/a	4,050.00	3.0
SAC CHRIS C	041	OFIX	B	11,000	20.89	n/a	n/a	330.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL WORLD	084	PEP	S	455,825	80.54	n/a	n/a	15,953.88	4.0
APEX CAPITAL MGMT.	033	PKI	B	1,000	43.81	n/a	n/a	40.00	4.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>PLOW</b>	<b>B</b>	<b>250</b>	<b>14.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	033	PRGO	B	800	145.40	13-Jan	7-Feb	32.00	4.0
LAKEWOOD CAPITAL MGMT	085	PRKR	SS	10,000	4.80	n/a	n/a	300.00	3.0
APEX CAPITAL MGMT.	033	PVH	B	600	121.50	24-Jan	24-Jan	24.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	103.45	3-Feb	5-Feb	750.00	5.0
APEX CAPITAL MGMT.	033	ROST	B	1,000	69.18	23-Jan	n/a	40.00	4.0
APEX CAPITAL MGMT.	033	SBUX	B	1,000	74.54	n/a	30-Jan	40.00	4.0
IRIDIAN ASSET	036	SEE	B	85,700	31.94	n/a	n/a	4,285.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>C</b>	<b>20,000</b>	<b>29.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARDSLEY PARTNERS/RIDGECREST		306 SSO		S	5,000	96.65	n/a	n/a	200.00 4.0
ADAGE CAPITAL MGMT	310	SWY	B	26,445	32.01	n/a	n/a	793.35	3.0
KLEINHEINZ CAP PART	031	TCK	B	200,000	24.84	n/a	n/a	10,000.00	5.0
APEX CAPITAL MGMT.	033	TCS	B	700	38.50	n/a	n/a	28.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	TMO	B	3,000	118.56	n/a	n/a	120.00	4.0
CHARTERBRIDGE CAPITAL	025	TPX	SS	40,000	45.75	n/a	n/a	1,200.00	3.0
APEX CAPITAL MGMT.	033	TRMB	B	700	31.84	n/a	n/a	28.00	4.0
T. ROWE PRICE	243	TXI	S	27,330	79.75	n/a	n/a	1,093.20	4.0
NOKOMIS PARTNERS	031	UNG	B	75,000	22.97	n/a	n/a	2,250.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>50,000</b>	<b>36.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARDSLEY PARTNERS/RIDGECREST	306	UWM	S	5,000	77.57		n/a	n/a	200.00 4.0
NEW VERNON/SF INVESTMENTS	031	WNC	B	62,000	12.31	n/a	7-Feb	3,100.00	5.0
MOORE CAPITAL	257	XLB	C	50,000	44.86	n/a	n/a	1,500.00	3.0
KLEINHEINZ CAP PART	031	XRT	S	75,000	80.39	n/a	n/a	3,750.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>94,082.80</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/07	GAMCO ASSET MNGMT	025	AAPL	B	100	520.49	n/a	n/a	4.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	AAPL	B	100	520.49	n/a	n/a	4.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	CAG	S	7,000	30.87	n/a	n/a	280.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	CAG	S	7,000	30.87	n/a	n/a	280.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	CNX	B	300	36.44	n/a	n/a	12.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	CNX	B	300	36.44	n/a	n/a	12.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	COH	S	1,700	46.80	n/a-2014-01-24		68.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	COH	S	1,700	46.80	n/a-2014-01-24		68.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	DVN	B	800	60.46	n/a	n/a	32.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	DVN	B	800	60.46	n/a	n/a	32.00	0.0
AO,	02/07	PCO CAPITAL MGMT.	084	GM	B	15,000	36.24-2014-01-27-2014-02-10			450.00	0.0
AO,CXL	02/07	PCO CAPITAL MGMT.	084	GM	B	15,000	36.18-2014-01-27-2014-02-10			450.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	T	S	4,000	31.99	n/a	n/a	160.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	T	S	4,000	31.99	n/a	n/a	160.00	0.0
AO,CXL	02/07	GAMCO ASSET MNGMT	025	TUP	S	800	76.32	n/a	n/a	32.00	0.0
AO,CRT	02/07	GAMCO ASSET MNGMT	025	TUP	S	800	76.32	n/a	n/a	32.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

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TOTAL (Trade Date):	94,082.80
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TOTAL (AO, CXL, CRT):	0.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>94,082.80</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	02/07	BUCK CAPITAL MGMT.	EL	C	75,000	66.67	n/a-2014-02-06	3000.00
CRT	02/07	BUCK CAPITAL MGMT	EL	C	75,000	66.66	n/a-2014-02-06	3000.00 4.0

MRI Securities with Trade Activity on 10-Feb.  
NONE

MRI Securities without Trade Activity on 10-Feb.  
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)**