



Daily Compliance Activity Report

Trade Date: 01/28/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	B	8,800	31.70	16-Jan	27-Jan	352.00	4.0
B BUCK CAPITAL MGMT		AAPL	B	4,000	502.64	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	ABB	SS	10,000	25.44	n/a	n/a	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	ALV	B	20,000	88.00	n/a	27-Jan	600.00	3.0
MAPLE ROW	006	AMAT	B	10,000	16.68	n/a	n/a	300.00	3.0
HALCYON LLC	041	ARCP	B	100,000	14.01	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	ASH	B	10,000	93.80	n/a	n/a	300.00	3.0
PRIMECAP MGMT	084	BMRN	B	3,000	68.69	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		BONT	C	20,000	11.03	13-Jan	23-Jan	non-brg	2.5
DELTEC ASSET MGMT.	040	BONT	B	1,100	10.83	13-Jan	23-Jan	55.00	5.0
CHART WELL ADV	028	CAKE	B	83,400	44.85	n/a	10-Jan	3,336.00	4.0
LIONEYE CAPITAL	040	CLF	B	35,000	19.78	n/a	n/a	1,750.00	5.0
COUGAR TRADING	044	CPA	B	10,000	134.80	n/a	24-Jan	500.00	5.0
COUGAR TRADING	044	CPA	S	10,000	133.46	n/a	24-Jan	500.00	5.0
f IAN L MILLER	FID	C	B	25	49.76	9-Jan	27-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Jack Chernus		DAL	B	500	30.87	22-Jan	22-Jan	0.00	0.0
Õ Jack Chernus		DAL	B	500	30.89	22-Jan	22-Jan	0.00	0.0
TUDOR INVESTORS	028	DD	SS	5,000	60.22	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		DHI	S	25,000	23.17	n/a	n/a	non-brg	4.0
f MARGARET ANNE MCAULE	FID	DHR	B	16	75.42	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	281	DKS	B	12,500	51.94	n/a	23-Jan	625.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	DORM	B	10,000	51.76	n/a	n/a	300.00	3.0
CAPITAL GUARDIAN /INTN'L	084	D	S	260,270	66.35	n/a	n/a	9,109.45	4.0
f DAVID GEORGE BUCK	FID	ENX	B	2000	11.60	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	ESRX	S	20,000	74.22	n/a	n/a	1,000.00	5.0
KORTRIGHT CAPITAL PARTNERS	025	FL	B	51,585	38.14	n/a	23-Jan	1,547.55	3.0
ß BUCK CAPITAL MGMT		FOSL	S	20,000	114.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	S	50,000	11.69	n/a	n/a	non-brg	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	20,000	15.75	n/a	28-Jan	600.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	100,000	25.58	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		GIIX	S	20,000	70.34	24-Jan	24-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	GLW	B	10000	16.84	n/a	n/a	0.00	0.0
J. GOLDMAN	028	GLW	SS	15,000	17.13	n/a	n/a	600.00	4.0
MAPLE ROW	006	GRPN	B	5,000	10.18	n/a	n/a	150.00	3.0
FRED ALGER MGMT	300	GWW	S	4,750	237.52	n/a	28-Jan	171.00	4.0
B BUCK CAPITAL MGMT		HAL	B	10,000	48.61	n/a	n/a	non-brg	4.0
f MARIO SAPIENZA	FID	HCP	B	500	39.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HDS	S	5,000	22.00	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		HDS	S	80,000	22.05	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	HTZ	S	10,000	26.33	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	46.10	n/a	24-Jan	1,000.00	5.0
f DAVID GEORGE BUCK	FID	IWR	S	1000	146.87	n/a	n/a	0.00	0.0
J. GOLDMAN	028	JACK	S	20,000	50.29	n/a	n/a	800.00	4.0
COBALT	041	JPM	B	100,000	55.71	9-Jan	15-Jan	4,000.00	4.0
f IAN L MILLER	FID	JPM	B	20	55.57	9-Jan	15-Jan	0.00	0.0
TIDE POINT CAPITAL	028	LEA	B	20,000	77.13	n/a	27-Jan	600.00	3.0
FIRST NY SEC/CHRIS	041	LOW	SS	5,000	46.95	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	025	LPX	B	10,000	17.29	22-Jan	24-Jan	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	309	LUV	B	200,000	21.24	24-Jan	24-Jan	10,000.00	5.0
f DAVID GEORGE BUCK	FID	MAR	B	1000	49.60	n/a	n/a	0.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	MKTG	S	40,800	26.99		n/a	n/a	1,632.00 4.0
f DAVID GEORGE BUCK	FID	MRO	S	3000	33.31	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	MWV	S	5,000	36.50	n/a	28-Jan	150.00	3.0
SAC CHRIS C	041	MYL	S	50,000	44.63	n/a	27-Jan	1,500.00	3.0
PRIMECAP MGMT	084	NKTR	B	2,500	13.20	n/a	n/a	100.00	4.0
HALCYON LLC	041	NNN	S	19,340	32.71	n/a	n/a	580.20	3.0
KOLVEN CAPITAL	025	NRF	B	1,000	14.50	n/a	n/a	30.00	3.0
OSKIE CAPITAL MGMT	224	NRF	B	30,000	14.53	n/a	n/a	1,500.00	5.0
HALCYON LLC	041	O	S	15,740	40.39	n/a	n/a	472.20	3.0
B BUCK CAPITAL MGMT		PII	B	10,000	123.07	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PII	B	20,000	125.23	n/a	n/a	non-brg	4.0
PARKWEST	084	PLCM	B	100,000	12.10	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		RL	SS	10,000	157.27	n/a	24-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		SBUX	B	20,000	73.83	n/a	28-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		SBUX	B	20,000	74.11	n/a	28-Jan	non-brg	4.0
ADAGE CAPITAL MGMT	310	SWY	B	50,000	31.36	n/a	n/a	1,500.00	3.0
SURVEYOR CAPITAL	251	SWY	S	50,000	31.36	n/a	n/a	2,000.00	4.0
T. ROWE PRICE	243	TISI	S	11,584	43.92	n/a	n/a	463.36	4.0
PRIMECAP MGMT	084	TXN	B	20,000	42.90	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	VAL	S	5,000	70.57	n/a	n/a	150.00	3.0
KADE CAPITAL LLC	028	VMC	SS	5,000	61.64	n/a	n/a	250.00	5.0
KINGDON ASSET MGMT	041	VMC	S	25,000	61.76	n/a	n/a	1,000.00	4.0
SANDLER CAPITAL	028	VMC	B	155,000	61.57	n/a	n/a	7,750.00	5.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086	VZ	SS	15,000	47.41	n/a	27-Jan	450.00	3.0
HALCYON LLC	041	WPC	S	2,180	61.24	n/a	n/a	65.40	3.0
DAVIDSON KEMPNER ADVISOR	281	WSM	B	12,500	54.42	n/a	n/a	625.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	12,500	81.36	n/a	n/a	375.00	3.0
TOTAL (Trade Date) :								71,109.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/27	HALCYON LLC	041	ARCP	B	50,000	13.97	n/a	n/a	1500.00 0.0
AO,CXL	01/27	HALCYON LLC	041	ARCP	B	50,000	13.97	n/a	n/a	1500.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	71,109.16
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	71,109.16
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	01/27	BUCK CAPITAL MGMT	CNC	B	20,000	59.80	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 28-Jan.
NONE

MRI Securities without Trade Activity on 28-Jan.
LB, GPS

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)