



Daily Compliance Activity Report

Trade Date: 01/31/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	AAL	B	25,000	33.43	29-Jan	29-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		AAPL	B	3,000	497.53	n/a	n/a	non-brg	3.0
CADIAN CAPITAL	041	AAP	S	4,400	115.32	n/a	n/a	132.00	3.0
JET CAPITAL/CHRIS	041	APD	S	25,000	104.37	n/a	n/a	750.00	3.0
BARROW HANLEY MEWHINNEY	031	AXP	S	800	85.34	17-Jan	17-Jan	28.00	4.0
BARROW HANLEY MEWHINNEY	031	BP	S	6,800	46.83	n/a	n/a	238.00	4.0
LOCUST WOOD CAPITAL MGMT	044	CHTR	B	3,000	137.75	n/a	23-Jan	120.00	4.0
f EDWARD W WHEELER	FID	CMI	B	2000	127.12	n/a	17-Jan	0.00	0.0
CR INTRINIC INVESTMENT	044	CP	S	2,500	151.95	n/a	30-Jan	75.00	3.0
COLUMBUS CAP MGMT LLC	084	CSCO	SS	26,000	21.86	n/a	n/a	1,040.00	4.0
B BUCK CAPITAL MGMT		DGX	B	19,100	52.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DHI	S	21,000	23.96	n/a	n/a	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	DIS	B	100	72.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EL	SS	75,000	68.38	n/a	28-Jan	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		EL	S	81,700	67.95	n/a	28-Jan	non-brg	4.0
f	ANGELO CHRISTOS EFST	FID	FWM	S	100	11.67	n/a	n/a	0.00	0.0
f	ANGELOS EFSTATHIOU	FID	FWM	S	300	11.67	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FWM	S	20,570	11.76	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FWM	S	29,700	11.76	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		FWM	S	30,000	11.61	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		F	C	133,000	15.00	n/a	31-Jan	non-brg	4.0
	BARROW HANLEY MEWHINNEY	031	GD	S	5,800	99.09	17-Jan	22-Jan	203.00	4.0
f	MANNY I KORMAN	FID	GILD	B	7000	80.70	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	36.44	27-Jan	31-Jan	600.00	3.0
	ROSEDALE CAPITAL	046	GM	S	10,000	36.45	27-Jan	31-Jan	400.00	4.0
	PROVIDENCE EQUITY CAPITAL	040	HRG	S	3,000	11.95	n/a	n/a	60.00	2.0
	KAM ADVISORS LLC	041	IP	C	103,800	47.84	n/a	30-Jan	3,114.00	3.0
	MAPLE ROW	006	JBLU	B	5,000	8.84	n/a	30-Jan	150.00	3.0
f	NILSA VAZQUEZ	FID	JBLU	S	3000	8.99	n/a	30-Jan	0.00	0.0
	LEVIN CAPITAL STRATEGIES	041	JNPR	B	37,543	26.76	n/a	n/a	1,126.29	3.0
	ASCEND PARTNERS	033	JWN	C	75,313	57.47	23-Jan	23-Jan	2,259.39	3.0
	SIGMA CAPITAL ASSOCIATES	041	KKD	SS	50,000	17.04	n/a	n/a	1,500.00	3.0
ß	BUCK CAPITAL MGMT		KMT	B	11,500	43.07	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NUDGE CAPITAL FUND LP	006	LEA	B	3,900	73.48	n/a	31-Jan	117.00	3.0
NUDGE CAPITAL FUND LP	006	LEA	SS	3,900	75.51	n/a	31-Jan	117.00	3.0
LOCUST WOOD CAPITAL MGMT	044	LINTA	B	26,440	26.73	n/a	n/a	1,057.60	4.0
⚡ BUCK CAPITAL MGMT		LULU	SS	25,000	45.83	17-Jan	29-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MBUU	B	20,000	14.00	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		MBUU	S	8,403	17.45	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	MCD	B	25,000	94.09	n/a	24-Jan	750.00	3.0
LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,285	174.66	n/a	n/a	211.40	4.0
f ANTHONY SUTERA	FID	MEET	S	1000	2.35	n/a	n/a	0.00	0.0
f NILSA VAZQUEZ	FID	MTOR	S	5000	10.66	n/a	n/a	0.00	0.0
f NILSA VAZQUEZ	FID	M	S	250	53.18	23-Jan	24-Jan	0.00	0.0
f ANGELOS EFSTATHIOU	FID	PCH	B	400	40.08	30-Jan	31-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		PIR	S	100,000	19.28	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PIR	S	104,630	19.08	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PIR	S	25,000	18.93	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		PIR	S	50,000	19.28	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS/RIDGECREST	306	PX		S	10,000	124.13	n/a	n/a	500.00 5.0
⚡ BUCK CAPITAL MGMT		RARE	B	1,000	21.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		RARE	S	1,000	45.15	n/a	n/a	non-brg	2.5
f RAVI SADARANGANI	FID	RETL	B	500	62.80	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		RL	SS	5,000	156.73	n/a	24-Jan	non-brg	4.0
BARROW HANLEY MEWHINNEY	031	RTN	S	4,500	93.26	n/a	21-Jan	157.50	4.0
⚡ BUCK CAPITAL MGMT		SBUX	B	20,000	71.60	n/a	30-Jan	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	SBUX	S	100	71.71	n/a	30-Jan	0.00	0.0
SENATOR INVEST GROUP	287	SIG	B	50,000	80.29	n/a	n/a	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		SONC	B	25,000	17.92	n/a	17-Jan	non-brg	4.0
TUDOR INVESTORS	028	SPY	SS	5,000	179.08	n/a	n/a	150.00	3.0
ADAGE CAPITAL MGMT	310	SWY	B	6,850	30.52	n/a	n/a	205.50	3.0
f EDWARD W WHEELER	FID	TBT	B	5000	69.99	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	TBT	B	20	2.05	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TJX	B	25,000	56.94	23-Jan	6-Jan	non-brg	4.0
LOCUST WOOD CAPITAL MGMT	044	TMO	B	16,855	115.09	n/a	n/a	674.20	4.0
f ANGELO CHRISTOS EFST	FID	TPX	B	30	49.72	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	TPX	B	200	49.72	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	TPX	B	300	49.66	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TRW	S	5,000	74.35	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON INV ADV	033	TWC	S	22,860	134.07	n/a	31-Jan	914.40	4.0
T. ROWE PRICE	243	TXI	S	4,349	75.53	n/a	n/a	173.96	4.0
CR INTRINIC INVESTMENT	044	TYC	B	15,000	40.55	31-Jan	n/a	450.00	3.0
STRONG/MARK GRONET	030	UAL	S	10,000	46.03	24-Jan	24-Jan	400.00	4.0
BARROW HANLEY MEWHINNEY	031	UNH	S	7,100	71.59	n/a	n/a	248.50	4.0
Ⓕ BUCK CAPITAL MGMT		URBN	S	30,000	35.58	n/a	n/a	non-brg	4.0
JET CAPITAL/CHRIS	041	VZ	SS	13,050	47.48	n/a	27-Jan	391.50	3.0
Ⓕ BUCK CAPITAL MGMT		WHR	B	22,500	135.30	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	WNC	S	15000	13.73	n/a	23-Jan	0.00	0.0
SCOPUS FUND	041	WY	B	16,248	29.94	n/a	31-Jan	649.92	4.0
Ⓕ BUCK CAPITAL MGMT		XPO	B	125,000	24.81	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		XPO	B	75,000	25.00	n/a	n/a	non-brg	0.0
CORTEX CAPITAL	031	XRT	SS	20,000	79.40	n/a	n/a	600.00	3.0
TOTAL (Trade Date):								22,464.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/29	TWO OCEAN CAPITAL	084	ANN	SS	37,150	32.34	n/a	n/a	1114.50 0.0
AO,CRT	01/29	TWO OCEAN CAPITAL	084	ANN	SS	37,150	32.34	n/a	n/a	1486.00 4.0

TOTAL (AO, CXL, CRT) :	371.50
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TOTAL (Trade Date) :	22,464.16
TOTAL (AO, CXL, CRT) :	371.50

TOTAL (RUN DATE) / NFS:	22,835.66
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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 31-Jan.

TYC

MRI Securities without Trade Activity on 31-Jan.

AXE, WMT, ABFS

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)