



Daily Compliance Activity Report

Trade Date: 01/30/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AA	SS	15,000	11.92	n/a	n/a	450.00	3.0
DSM CAPITAL PARTNERS	085	ABT	B	26,720	36.26	n/a	n/a	1,336.00	5.0
SANDLER O'NEILL ASSET	031	AIG	S	10,000	48.98	n/a	n/a	500.00	5.0
f EDWARD W WHEELER	FID	ALB	S	6000	64.60	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	AMRI	B	1000	10.90	n/a	n/a	0.00	0.0
EDGEWOOD	085	AMT	B	127,201	81.16	n/a	n/a	6,360.05	5.0
KENNEDY CAPITAL	046	ARO	S	254,159	7.01	n/a	n/a	7,624.77	3.0
B BUCK CAPITAL MGMT		BHI	S	17,500	57.17	n/a	n/a	non-brg	4.0
WAGONHOUND/NICOLAS	033	BIDU	S	2,791	159.87	n/a	n/a	111.64	4.0
B BUCK CAPITAL MGMT		BID	SS	47,493	47.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	SS	50,000	48.15	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	BLL	B	20,000	51.15	n/a	n/a	600.00	3.0
TUDOR INVESTORS	028	CAT	B	15,000	91.35	n/a	n/a	450.00	3.0
BOOTH PARK CAPITAL	041	CBL	S	5,000	16.90	n/a	n/a	150.00	3.0
f ANGELOS EFSTATHIOU	FID	CIT	B	200	47.27	29-Jan	29-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANGELOS EFSTATHIOU	FID	COF	B	100	70.88	17-Jan	17-Jan	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	COF	B	200	71.17	17-Jan	17-Jan	0.00	0.0
FRED ALGER MGMT	300	CVLT	B	125	70.92	n/a	n/a	4.50	4.0
SANDLER O'NEILL ASSET	031	C	S	25,000	48.46	9-Jan	27-Jan	1,250.00	5.0
f HARALAMBOS EFSTATHI	FID	DDC	S	1000	14.54	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	DE	SS	5,000	85.56	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		DG	B	30,000	56.96	n/a	9-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DRNA	B	1,000	15.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DRNA	S	1,000	34.80	n/a	n/a	non-brg	2.5
SYMPHONY ASSET	033	EEM	SS	17,000	38.20	n/a	n/a	510.00	3.0
B BUCK CAPITAL MGMT		EL	S	35,000	68.57	n/a	28-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		ETN	S	25,000	73.90	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	FB	S	5	1.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FNP	B	50,000	28.55	n/a	n/a	non-brg	4.0
CORTEX CAPITAL	031	FOSL	B	20,000	115.33	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		FWM	S	40,000	11.95	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	C	18,000	15.42	n/a	30-Jan	540.00	3.0
TUDOR INVESTORS	028	F	B	10,000	15.20	n/a	30-Jan	300.00	3.0
DSM CAPITAL PARTNERS	085	GE	S	36,760	25.42	n/a	n/a	1,838.00	5.0
AH LISANTI	006	GIII	B	6,640	71.35	24-Jan	24-Jan	332.00	5.0
f MANNY I KORMAN	FID	GILD	B	5000	81.64	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	36.90	27-Jan	30-Jan	300.00	3.0
B BUCK CAPITAL MGMT		HAL	B	20,000	49.26	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	HBI	B	28,179	72.09	30-Jan	30-Jan	845.37	3.0
OMEGA ADVISORS	041	HRG	B	325,000	11.81	n/a	n/a	13,000.00	4.0
PROVIDENCE EQUITY CAPITAL	040	HRG	S	484,600	11.78	n/a	n/a	14,538.00	3.0
f MANNY I KORMAN	FID	ICPT	B	800	305.59	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	JCP	B	1000	6.00	9-Jan	23-Jan	0.00	0.0
f ANTHONY SUTERA	FID	JCP	S	3000	5.75	9-Jan	23-Jan	0.00	0.0
f RAVI SADARANGANI	FID	JCP	S	1500	6.04	9-Jan	23-Jan	0.00	0.0
f ROHINI T SADARANGANI	FID	JCP	S	500	6.04	9-Jan	23-Jan	0.00	0.0
f EDWARD W WHEELER	FID	KMT	B	5000	43.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KORS	S	20,000	80.65	24-Jan	24-Jan	non-brg	4.0
MSF CAPITAL (ENTRUST)	040	LBTK	B	6,672	78.00	n/a	n/a	333.60	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TIDE POINT CAPITAL	028	LEA	S	40,000	76.54	n/a	27-Jan	1,200.00	3.0
SANDLER O'NEILL ASSET	031	MET	S	10,000	49.85	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	17,000	291.96	n/a	n/a	non-brg	23.4
NOMURA/ANGEL LANE PRINCIPAL	040	RLGY	S	50,000	45.31	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		RL	SS	5,000	158.59	n/a	24-Jan	non-brg	4.0
TUDOR INVESTORS	028	RTN	SS	2,000	88.74	n/a	21-Jan	60.00	3.0
BOOTH PARK CAPITAL	041	RWX	SS	3,500	39.89	n/a	n/a	105.00	3.0
LIONEYE CAPITAL	040	RYN	S	10,000	44.15	n/a	28-Jan	500.00	5.0
FIRST NEW YORK	086	SIRI	B	20,000	3.62	n/a	n/a	800.00	4.0
f ANGELOS EFSTATHIOU	FID	SLM	B	300	23.08	n/a	23-Jan	0.00	0.0
B BUCK CAPITAL MGMT		SLM	B	43,000	23.14	n/a	23-Jan	non-brg	4.0
FIRST NEW YORK	086	SONC	B	10,000	18.31	n/a	17-Jan	300.00	3.0
f MARIO SAPIENZA	FID	SUPN	B	2000	9.82	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	150,000	31.16	n/a	n/a	4,500.00	3.0
TUDOR INVESTORS	028	TKR	B	10,000	56.95	n/a	n/a	300.00	3.0
DSM CAPITAL PARTNERS	085	TWX	B	15,395	63.77	n/a	n/a	769.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	UFI	S	10,000	23.17	n/a	n/a	500.00	5.0
TUDOR INVESTORS	028	UPS	SS	10,000	96.18	n/a	21-Jan	300.00	3.0
B BUCK CAPITAL MGMT		URBN	S	60,000	36.04	n/a	n/a	non-brg	4.0
TIDE POINT CAPITAL	028	VC	B	30,000	81.31	n/a	n/a	900.00	3.0
WAGONHOUND/NICOLAS	033	VFC	B	12,431	59.60	24-Jan	24-Jan	497.24	4.0
ROYCE TRADING	031	WAIR	B	5,000	21.62	n/a	n/a	250.00	5.0
SMITH MGMT/ALDEN GLOBAL		029 WDAY	B	58,000	90.69		n/a n/a	1,740.00	3.0
ROYCE TRADING	031	WD	B	7,500	14.20	n/a	n/a	375.00	5.0
ROYCE TRADING	031	WG	B	900	8.55	n/a	n/a	45.00	5.0
B BUCK CAPITAL MGMT		WHR	B	30,000	135.35	n/a	n/a	non-brg	4.0
FRED ALGER MGMT	300	WYNN	B	13,695	201.94	n/a	n/a	493.02	4.0
KORTRIGHT CAPITAL PARTNERS	025	WY	S	165,000	30.80	n/a	30-Jan	4,950.00	3.0
LATEEF MGMT	033	WY	B	1,825	30.83	n/a	30-Jan	193.75	11.7
KORTRIGHT CAPITAL PARTNERS	025	X	B	32,100	25.87	n/a	n/a	963.00	3.0
TOTAL (Trade Date) :								73,865.69	

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	1114.50	0.0
AO,CRT	01/28	HALCYON LLC	041	ARCP	B	4,714	14.01	n/a	n/a	141.42	0.0
AO,CXL	01/28	HALCYON LLC	041	ARCP	B	4,714	14.01	n/a	n/a	2867.76	0.0
AO,CRT	01/29	DELTEC ASSET MGMT.	040	BONT	B	12,000	10.79-2014-01-13-2014-01-23			480.00	0.0
AO,CXL	01/29	DELTEC ASSET MGMT.	040	BONT	B	12,000	10.79-2014-01-13-2014-01-23			600.00	0.0
AO,CRT	01/29	LIONEYE CAPITAL	040	CLF	B	85,000	20.63	n/a	n/a	4250.00	0.0
AO,CXL	01/29	LIONEYE CAPITAL	040	CLF	B	85,000	20.63	n/a	n/a	4260.00	0.0
AO,CXL	01/29	FIRST NY SEC/CHRIS	041	IP	B	10,000	46.46	n/a-2014-01-30		500.00	0.0
AO,CRT	01/29	FIRST NY SEC/CHRIS	041	IP	B	10,000	46.46	n/a-2014-01-30		500.00	0.0

TOTAL (AO, CXL, CRT) :**-2,856.34**

TOTAL (Trade Date) :**73,865.69****TOTAL (AO, CXL, CRT) :****-2,856.34**

TOTAL (RUN DATE) / NFS :**71,009.35**

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 30-Jan.

HBI

MRI Securities without Trade Activity on 30-Jan.

PCH, V, ALGT, AF, UA

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)