



Daily Compliance Activity Report

Trade Date: 01/17/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	AAN	SS	10,000	26.54	n/a	n/a	300.00	3.0
ELM RIDGE ADVISORS	044	AA	S	35,000	11.09	n/a	n/a	1,400.00	4.0
f DAVID GEORGE BUCK	FID	ACRX	S	1000	12.58	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ACRX	S	3000	12.58	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ACRX	S	800	12.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	85,000	14.53	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	AHL	S	7,995	39.85	n/a	n/a	319.80	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	AIG	B	1,500	51.02	n/a	n/a	45.00	3.0
TALON ASSET MGMT.	006	AIG	S	10,000	51.11	n/a	n/a	500.00	5.0
KENNEDY CAPITAL	046	ALGT	B	23,786	103.06	n/a	17-Jan	951.44	4.0
B BUCK CAPITAL MGMT		BCC	S	1,200	31.55	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	BCC	S	9,920	31.41	n/a	n/a	396.80	4.0
f ANDREW LONGLEY TRUS	FID	BKF	S	100	35.97	n/a	n/a	0.00	0.0
f CLIFFORD LON GLEY TR	FID	BKF	S	100	35.97	n/a	n/a	0.00	0.0
f JONATHAN LON GLEY TR	FID	BKF	S	100	35.97	n/a	n/a	0.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	BONT	SS	87,000	11.51		13-Jan 14-Jan	2,610.00	3.0
COUGAR TRADING	044	CAKE	SS	10,000	45.67	n/a	10-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Jack Chernus		CAM	S	10	1.40	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CCIX	S	25,622	26.22	n/a	n/a	1,024.88	4.0
ROTHSCHILD ASSET	040	CNO	B	90,412	18.22	n/a	n/a	3,616.48	4.0
SENATOR INVEST GROUP	287	CNP	B	225,000	23.46	n/a	n/a	6,750.00	3.0
CAMBIAR CAP	046	COF	B	22,600	73.46	17-Jan	17-Jan	904.00	4.0
RIVERPARK CAPITAL	025	COH	B	74,000	52.57	n/a	17-Jan	3,700.00	5.0
NWQ INVESTMENT MGMT CO	084	CRZO	S	10,995	43.94	n/a	n/a	439.80	4.0
SAC CHRIS C	041	CSII	S	15,000	29.85	n/a	n/a	450.00	3.0
f CHRISTY FRANK	FID	CYH	B	250	41.00	n/a	n/a	0.00	0.0
ZWEIG FUNDS	006	DAL	B	5,000	31.22	n/a	17-Jan	250.00	5.0
FOUNDRY PARTNERS LLC	030	DFS	S	850	53.51	13-Jan	14-Jan	34.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	53.66	13-Jan	14-Jan	1,250.00	5.0
ß BUCK CAPITAL MGMT		DG	B	20,000	60.05	n/a	9-Jan	non-brg	4.0
FIRST NY SEC/CHRIS	041	DG	B	10,000	60.26	n/a	9-Jan	500.00	5.0
SENATOR INVEST GROUP	287	DG	B	4,300	60.67	n/a	9-Jan	129.00	3.0
ACK ASSET	028	DLTR	SS	40,000	54.03	n/a	n/a	1,200.00	3.0
f ABRAM M CHAPPELL	FID	DY	B	350	28.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GUARDIAN /INTN'L	296	D	S	125,000	66.39	n/a	n/a	4,375.00	4.0
f DAVID GEORGE BUCK	FID	EBS	S	2000	26.32	n/a	n/a	0.00	0.0
KADE CAPITAL LLC	028	FDO	S	5,000	67.50	10-Jan	10-Jan	250.00	5.0
LONE PINE MGMT	257	FDO	B	59,027	64.84	10-Jan	10-Jan	2,361.08	4.0
BALYASNY ASSET MGMT	044	FL	C	40,000	38.99	n/a	15-Jan	2,000.00	5.0
SMITH MGMT/ALDEN GLOBAL		029 FL		SS	26,000	39.09	n/a	15-Jan	780.00 3.0
SURVEYOR CAPITAL	251	FL	B	25,000	39.09	n/a	15-Jan	1,000.00	4.0
FSI GROUP, LLC	047	FOR	S	20,500	20.47	19-Dec	17-Jan	820.00	4.0
NWQ INVESTMENT MGMT CO	084	FOR	S	14,291	20.33	19-Dec	17-Jan	571.64	4.0
f MARGARET ANNE MCAULE	FID	GE	B	100	26.81	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	GFF	S	21,550	14.20	n/a	n/a	754.25	4.0
f ABRAM M CHAPPELL	FID	GLPW	B	265	18.98	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	GMCR	S	20	2.17	n/a	2-Jan	0.00	0.0
Õ Jack Chernus		GM	S	20	0.64	n/a	16-Jan	0.00	0.0
f LARA HUNT SMITH	FID	GOL	S	25	0.50	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	GOL	S	100	0.50	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	GOL	S	100	0.55	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	HAR	S	4,590	90.35	n/a	n/a	183.60	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	HLF	S	20	4.50	n/a	n/a	0.00	0.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251	HOLX	S	10,000	22.67		n/a	n/a	300.00 3.0
	KOLVEN CAPITAL	025	HTZ	B	1,000	27.12	n/a	n/a	30.00	3.0
	CSFB GLOBAL PROPRIETARY	041	IP	SS	15,000	48.60	n/a	16-Jan	750.00	5.0
f	MARK ANTHONY GRONET	FID	IP	S	300	48.84	n/a	16-Jan	0.00	0.0
	MAPLE ROW	006	IWM	B	10,000	115.98	n/a	n/a	300.00	3.0
	NEW VERNON/SF INVESTMENTS	031	JBLU	B	226,000	8.99	n/a	17-Jan	9,040.00	4.0
	S.A.C. CAPITAL	044	JCP	SS	100,000	6.62	9-Jan	16-Jan	3,000.00	3.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251	JNPR	B	10,000	25.85		n/a	n/a	300.00 3.0
	SANDLER O'NEILL ASSET	031	JPM	S	5,000	58.56	9-Jan	15-Jan	250.00	5.0
f	ALICE BEEBE LONGLEY	FID	JRO	B	8000	12.23	n/a	n/a	0.00	0.0
	IVORY CAPITAL	084	KO	B	50,000	39.43	n/a	2-Jan	2,500.00	5.0
	LISTED ERR	099	LIN	B	300	24.75	n/a	n/a	0.00	0.0
	LISTED ERR	099	LIN	S	300	24.52	n/a	n/a	0.00	0.0
	NEW VERNON/SF INVESTMENTS	031	LUV	B	95,000	21.27	n/a	17-Jan	3,800.00	4.0
	WAGONHOUND/NICOLAS	033	LUV	SS	23,100	21.21	n/a	17-Jan	924.00	4.0
	ZWEIG FUNDS	006	LUV	B	5,000	21.39	n/a	17-Jan	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAYNE ANDERSON ADV	084	MRC	B	210,000	30.71	n/a	n/a	8,400.00	4.0
NUDGE CAPITAL FUND LP	006	MS	S	15,000	33.22	9-Jan	17-Jan	450.00	3.0
PHILADELPHIA FINANCIAL	033	MS	S	89,083	33.28	9-Jan	17-Jan	3,563.32	4.0
NEUBERGER BERMAN	036	MWV	S	44,950	37.30	n/a	16-Jan	1,798.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	NCT	B	17,500	5.81	n/a	n/a	525.00	3.0
KOLVEN CAPITAL	025	NRF	B	1,000	13.85	n/a	n/a	30.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	OHI	S	3,100	32.12	n/a	n/a	93.00	3.0
B BUCK CAPITAL MGMT		OWW	B	20,000	7.09	n/a	n/a	non-brg	3.0
f DAVID GEORGE BUCK	FID	QCOR	S	30	2.10	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	033	RAD	B	150,000	5.79	n/a	n/a	4,500.00	3.0
FIRST NEW YORK	086	RAD	B	10,000	5.84	n/a	n/a	500.00	5.0
TWO OCEAN CAPITAL	084	RAD	B	156,503	5.85	n/a	n/a	4,695.09	3.0
SMITH MGMT/ALDEN GLOBAL	029	RDEN	SS	35,500	28.55	17-Jan	n/a	1,065.00	3.0
f MANNY I KORMAN	FID	SLB	B	3000	90.08	n/a	n/a	0.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	SON	B	15,000	42.70	n/a	n/a	450.00	3.0
TROVE CAPITAL MANAGEMENT	237	SPLS	B	20,000	13.39	n/a	n/a	600.00	3.0
FARALLON CAP MGMT	040	STZ	S	35,000	79.51	9-Jan	9-Jan	1,400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK ANTHONY GRONET	FID	SWN	S	500	39.47	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	TCK	B	66,000	26.33	n/a	n/a	3,300.00	5.0
CR INTRINIC INVESTMENT	044	TFM	SS	25,000	37.56	n/a	n/a	750.00	3.0
P.SCHOENFELD ASSET MGMT LLC	041	TV	B	75,000	30.30	n/a	n/a	3,000.00	4.0
f MANNY I KORMAN	FID	UPS	B	2000	98.73	n/a	17-Jan	0.00	0.0
B BUCK CAPITAL MGMT		VNCE	B	10,000	24.93	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VNCE	B	20,000	24.40	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WCIC	B	2,570	17.68	n/a	n/a	non-brg	3.0
SIGMA CAP BOBBY	044	WSM	B	25,000	54.26	n/a	n/a	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	40,000	31.10	n/a	17-Jan	2,000.00	5.0
IVORY CAPITAL	084	XLP	SS	46,200	42.20	n/a	n/a	462.00	1.0
ASCEND PARTNERS	033	XRT	C	150,000	83.11	n/a	n/a	4,500.00	3.0
LATEEF MGMT	033	X	B	2,700	28.06	n/a	n/a	275.00	10.5
TOTAL (Trade Date) :							104,917.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/16	MAGNETAR FINANCIAL	031	LIN	S	55,266	24.60	n/a	n/a	1657.98 0.0
AO,CXL	01/16	MAGNETAR FINANCIAL	031	LIN	S	55,266	24.58	n/a	n/a	1657.98 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	104,917.18
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	104,917.18
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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 17-Jan.

COF, RDEN

MRI Securities without Trade Activity on 17-Jan.

CRS, GD, CSX, AXP, LULU, PBCT

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)