



# Daily Compliance Activity Report

Trade Date: 01/21/2014

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	20,000	30.47	16-Jan	17-Jan	800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>547.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>ABX</b>	<b>B</b>	<b>60</b>	<b>19.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>ADHD</b>	<b>S</b>	<b>1000</b>	<b>22.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORWARD MGMT	033	AUXL	S	5,000	25.10	n/a	n/a	200.00	4.0
FORWARD MGMT	033	BID	S	5,000	51.53	n/a	n/a	200.00	4.0
BLACKTHORN	047	BK	B	20,000	32.91	9-Jan	21-Jan	1,000.00	5.0
SMITH MGMT/ALDEN GLOBAL		029 BONT		SS	89,000	11.26	13-Jan	14-Jan	2,670.00 3.0
AH LISANTI	006	BWLD	S	6,990	137.83	n/a	n/a	349.50	5.0
TYVOR CAPITAL LLC	031	BWLD	B	10,000	139.00	n/a	n/a	300.00	3.0
COUGAR TRADING	044	CAKE	SS	5,000	44.83	n/a	10-Jan	250.00	5.0
LATEEF MGMT	033	CCK	B	125	42.23	n/a	n/a	30.00	24.0
CASTLEROCK	040	COH	SS	3,873	52.91	n/a	17-Jan	154.92	4.0
TYVOR CAPITAL LLC	031	COH	B	4,000	52.76	n/a	17-Jan	120.00	3.0
TYVOR CAPITAL LLC	031	COH	SS	3,600	53.05	n/a	17-Jan	108.00	3.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>CYH</b>	<b>B</b>	<b>500</b>	<b>39.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CALAMOS ADVISORS LLC	041	DAL	B	100,000	32.04	n/a	17-Jan	3,000.00	3.0
FARBER	006	DAL	B	9,000	32.04	n/a	17-Jan	360.00	4.0
LATEEF MGMT	033	DAL	S	250	31.73	n/a	17-Jan	30.00	12.0
NUDGE CAPITAL FUND LP	006	DAL	B	5,000	31.91	n/a	17-Jan	150.00	3.0
SCOPUS FUND	041	DDS	S	25,000	90.32	n/a	6-Jan	1,000.00	4.0
FORWARD MGMT	033	DECK	S	5,000	76.36	n/a	n/a	200.00	4.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>DF</b>	<b>B</b>	<b>50</b>	<b>17.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>30,000</b>	<b>59.27</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
KEY ASSET MGMT/VICTORY	220	DKS	S	101,470	53.12	n/a	15-Jan	4,058.80	4.0
ROVER CAPITAL PARTNERS	040	DKS	B	2,500	53.56	n/a	15-Jan	75.00	3.0
CR INTRINSIC/CHRIS C	041	DOW	B	55,000	45.66	n/a	n/a	1,650.00	3.0
CAPITAL GUARDIAN /INTN'L	084	D	S	221,800	66.73	n/a	n/a	7,763.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPE</b>	<b>C</b>	<b>7,500</b>	<b>65.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
LATEEF MGMT	033	FCX	S	225	35.47	n/a	n/a	29.25	13.0
LONE PINE MGMT	257	FDO	B	100,000	64.46	10-Jan	10-Jan	4,000.00	4.0
SMITH MGMT/ALDEN GLOBAL		029 FINL		SS	38,000	26.54	n/a	15-Jan	1,140.00 3.0
FSI GROUP, LLC	047	FOR	S	40,000	20.36	n/a	17-Jan	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FTK	B	25,000	19.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FWM	S	40,600	12.75	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		FWM	S	55,714	12.80	n/a	n/a	non-brg	3.0
OZ MGMT	040	F	SS	345,313	16.46	n/a	16-Jan	10,359.39	3.0
IAN L MILLER	FID	GDX	B	50	23.44	n/a	n/a	0.00	0.0
TROUBH PART	070	GM	B	10,000	38.05	n/a	16-Jan	500.00	5.0
BUCK CAPITAL MGMT		HAL	B	10,000	49.64	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	HPQ	S	175	29.60	n/a	n/a	31.50	18.0
FORWARD MGMT	033	HXL	S	10,000	45.49	n/a	21-Jan	400.00	4.0
ALICE BEEBE LONGLEY	FID	IYJ	B	600	100.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JBLU	S	50,000	9.34	n/a	17-Jan	non-brg	3.0
NUDGE CAPITAL FUND LP	006	JBLU	SS	25,000	9.37	n/a	17-Jan	750.00	3.0
WEISS PECK/ROBECO/BOSTON PT			040	JBLU	S	352,740	9.15	n/a	17-Jan 14,109.60 4.0
LATEEF MGMT	033	JCI	S	150	51.58	7-Jan	21-Jan	30.00	20.0
ANTHONY SUTERA	FID	JCP	B	2000	6.40	9-Jan	16-Jan	0.00	0.0
IAN L MILLER	FID	JCP	B	200	6.35	9-Jan	16-Jan	0.00	0.0
KENBELLE LLC	028	KNX	S	11,671	20.36	n/a	n/a	350.13	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	KR	B	1,400	36.60	n/a	n/a	174.50	14.6
<b>f IAN L MILLER</b>	<b>FID</b>	<b>LAWS</b>	<b>S</b>	<b>75</b>	<b>15.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	LB	B	100	54.40	n/a	n/a	4.00	4.0
SAC CHRIS C	041	LPNT	B	25,000	55.31	n/a	n/a	750.00	3.0
ROVER CAPITAL PARTNERS	040	LUV	SS	2,500	21.76	n/a	17-Jan	75.00	3.0
ZWEIG FUNDS	006	LUV	B	10,000	21.33	n/a	17-Jan	500.00	5.0
NOKOMIS PARTNERS	031	MED	SS	28,000	26.54	n/a	n/a	840.00	3.0
ADAGE CAPITAL MGMT	030	MW	S	6,412	50.56	n/a	n/a	192.36	3.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>NFLX</b>	<b>B</b>	<b>20</b>	<b>322.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	NKE	B	50,000	73.92	n/a	15-Jan	1,500.00	3.0
BLACKTHORN	047	NTRS	SS	10,000	60.81	9-Jan	9-Jan	500.00	5.0
LATEEF MGMT	033	OI	B	250	33.75	n/a	n/a	30.00	12.0
LATEEF MGMT	033	PBCT	B	300	14.95	17-Jan	n/a	30.00	10.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	20,000	40.76	n/a	17-Jan	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>C</b>	<b>17,000</b>	<b>63.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TYVOR CAPITAL LLC	031	PETM	B	1,200	63.45	n/a	n/a	36.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	PVTB	B	5,356	30.29	n/a	n/a	214.24	4.0
DISCIPLINED GROWTH INV.	030	RCL	B	4,300	48.93	n/a	n/a	215.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>161.01</b>	<b>n/a</b>	<b>14-Jan</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NICOLAS	033	SBUX	S	11,564	74.45	n/a	21-Jan	462.56	4.0
ROSEDALE CAPITAL	046	SLM	B	15,000	24.24	n/a	17-Jan	600.00	4.0
LATEEF MGMT	033	SPLS	B	300	13.59	n/a	n/a	30.00	10.0
<b>Õ Jack Chernus</b>		<b>STT</b>	<b>S</b>	<b>6</b>	<b>0.61</b>	<b>9-Jan</b>	<b>9-Jan</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	SWY	B	16,918	31.84	n/a	n/a	507.54	3.0
LATEEF MGMT	033	SWY	B	500	31.68	n/a	n/a	50.00	10.0
<b>Õ Nilsa Vazquez</b>		<b>TBT</b>	<b>B</b>	<b>100</b>	<b>73.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENBELLE LLC	028	TEX	S	8,800	42.07	n/a	n/a	264.00	3.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>TGT</b>	<b>B</b>	<b>20</b>	<b>59.12</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
INTERVAL PARTNERS	033	THO	SS	7,000	54.40	n/a	n/a	210.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>10,000</b>	<b>60.17</b>	<b>n/a</b>	<b>6-Jan</b>	<b>non-brg</b>	<b>4.0</b>
DISCIPLINED GROWTH INV.	030	TJX	B	8,200	60.21	n/a	6-Jan	410.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	4,150	60.19	n/a	6-Jan	207.50	5.0
LATEEF MGMT	033	UAL	S	125	47.13	9-Jan	17-Jan	30.00	24.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL	040	UA	C	25,359	84.46	n/a	15-Jan	760.77	3.0
SAC CHRIS C	041	VAR	B	10,000	81.59	n/a	n/a	300.00	3.0
CADIAN CAPITAL	041	VFC	SS	15,000	58.74	n/a	14-Jan	450.00	3.0
B BUCK CAPITAL MGMT		VNCE	B	15,000	24.12	n/a	n/a	non-brg	4.0
f RAVI SADARANGANI	FID	V	B	25	233.15	10-Jan	21-Jan	0.00	0.0
f ROHINI T SADARANGANI	FID	V	B	100	232.99	10-Jan	21-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WCIC	B	1,815	17.70	n/a	n/a	non-brg	3.0
LATEEF MGMT	033	X	B	150	26.78	n/a	n/a	30.00	20.0
<b>TOTAL (Trade Date):</b>								<b>68,142.56</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/17	ELM RIDGE ADVISORS	044	AA	S	35,000	11.09	n/a	n/a	1400.00	0.0
AO,CXL	01/17	ELM RIDGE ADVISORS	044	AA	S	35,000	11.09	n/a	n/a	1400.00	0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	AHL	S	7,995	39.85	n/a	n/a	319.80	0.0
AO,CRT	01/17	NWQ INVESTMENT MGMT CO	084	AHL	S	7,995	39.85	n/a	n/a	279.83	0.0
AO,CRT	01/17	NWQ INVESTMENT MGMT CO	084	BCC	S	9,920	31.41	n/a	n/a	347.20	0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	BCC	S	9,920	31.41	n/a	n/a	396.80	0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	CRZO	S	10,995	43.94	n/a	n/a	439.80	0.0
AO,CRT	01/17	NWQ INVESTMENT MGMT CO	084	CRZO	S	10,995	43.94	n/a	n/a	384.83	0.0
AO,CXL	01/17	FIRST NY SEC/CHRIS	041	DG	B	10,000	60.26	n/a-2014-01-09		500.00	0.0
AO,CRT	01/17	FIRST NY SEC/CHRIS	041	DG	B	10,000	60.26	n/a-2014-01-09		500.00	0.0
AO,CXL	01/17	LONE PINE MGMT	257	FDO	B	59,027	64.84-2014-01-10-2014-01-10			2361.08	0.0
AO,CRT	01/17	LONE PINE MGMT	257	FDO	B	59,027	64.84-2014-01-10-2014-01-10			2361.08	0.0
AO,	01/17	NWQ INVESTMENT MGMT CO	084	FOR	S	14,291	20.32	n/a-2014-01-17		441.98	0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	FOR	S	14,291	20.33	n/a-2014-01-17		571.64	0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	HAR	S	4,590	90.35	n/a	n/a	183.60	0.0
AO,CRT	01/17	NWQ INVESTMENT MGMT CO	084	HAR	S	4,590	90.35	n/a	n/a	160.65	0.0
AO,CRT	01/17	FIRST NEW YORK	086	RAD	B	10,000	5.84	n/a	n/a	400.00	0.0
AO,CXL	01/17	FIRST NEW YORK	086	RAD	B	10,000	5.84	n/a	n/a	500.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-397.15</b>	

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TOTAL (Trade Date):	68,142.56
TOTAL (AO, CXL, CRT):	-397.15

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>67,745.41</b>
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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 21-Jan.  
NONE

MRI Securities without Trade Activity on 21-Jan.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)