



# 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
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ACRX</b>	<b>S</b>	<b>1000</b>	<b>12.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ACRX</b>	<b>S</b>	<b>3000</b>	<b>12.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>ACRX</b>	<b>S</b>	<b>800</b>	<b>12.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>85,000</b>	<b>14.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
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>B</b> BUCK CAPITAL MGMT		<b>BCC</b>	<b>S</b>	<b>1,200</b>	<b>31.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NWQ INVESTMENT MGMT CO	084	BCC	S	9,920	31.41	n/a	n/a	396.80	4.0
<b>f</b> ANDREW LONGLEY TRUS	<b>FID</b>	<b>BKF</b>	<b>S</b>	<b>100</b>	<b>35.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CLIFFORD LON GLEY TR	<b>FID</b>	<b>BKF</b>	<b>S</b>	<b>100</b>	<b>35.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JONATHAN LON GLEY TR	<b>FID</b>	<b>BKF</b>	<b>S</b>	<b>100</b>	<b>35.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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.	
<b>Õ Jack Chernus</b>		<b>CAM</b>	<b>S</b>	<b>10</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f CHRISTY FRANK</b>	<b>FID</b>	<b>CYH</b>	<b>B</b>	<b>250</b>	<b>41.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>ß BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>20,000</b>	<b>60.05</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
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
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>DY</b>	<b>B</b>	<b>350</b>	<b>28.66</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.	
CAPITAL GUARDIAN /INTN'L	296	D	S	125,000	66.39	n/a	n/a	4,375.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EBS</b>	<b>S</b>	<b>2000</b>	<b>26.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f MARGARET ANNE MCAULE</b>	<b>FID</b>	<b>GE</b>	<b>B</b>	<b>100</b>	<b>26.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NWQ INVESTMENT MGMT CO	084	GFF	S	21,550	14.20	n/a	n/a	754.25	4.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>GLPW</b>	<b>B</b>	<b>265</b>	<b>18.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GMCR</b>	<b>S</b>	<b>20</b>	<b>2.17</b>	<b>n/a</b>	<b>2-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>GM</b>	<b>S</b>	<b>20</b>	<b>0.64</b>	<b>n/a</b>	<b>16-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f LARA HUNT SMITH</b>	<b>FID</b>	<b>GOL</b>	<b>S</b>	<b>25</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>GOL</b>	<b>S</b>	<b>100</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>GOL</b>	<b>S</b>	<b>100</b>	<b>0.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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.	
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HLF</b>	<b>S</b>	<b>20</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	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
<b>f</b>	<b>MARK ANTHONY GRONET</b>	<b>FID</b>	<b>IP</b>	<b>S</b>	<b>300</b>	<b>48.84</b>	<b>n/a</b>	<b>16-Jan</b>	<b>0.00</b>	<b>0.0</b>
	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
<b>f</b>	<b>ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>JRO</b>	<b>B</b>	<b>8000</b>	<b>12.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	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>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>B</b>	<b>20,000</b>	<b>7.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>S</b>	<b>30</b>	<b>2.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>SLB</b>	<b>B</b>	<b>3000</b>	<b>90.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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.	
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>SWN</b>	<b>S</b>	<b>500</b>	<b>39.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>UPS</b>	<b>B</b>	<b>2000</b>	<b>98.73</b>	<b>n/a</b>	<b>17-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VNCE</b>	<b>B</b>	<b>10,000</b>	<b>24.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>VNCE</b>	<b>B</b>	<b>20,000</b>	<b>24.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WCIC</b>	<b>B</b>	<b>2,570</b>	<b>17.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
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
<b>TOTAL (Trade Date) :</b>							<b>104,917.18</b>		

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

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

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	104,917.18
TOTAL (AO, CXL, CRT) :	0.00

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

COF, RDEN

MRI Securities without Trade Activity on 17-Jan.

CRS, AXP, GD, LULU, CSX, 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)**