



Daily Compliance Activity Report

Trade Date: 02/12/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	ABCO	B	2,000	59.00	n/a	n/a	72.00	4.0
STRONG/MARK GRONET	030	ABM	S	12,000	27.25	n/a	n/a	480.00	4.0
f DAVID GEORGE BUCK	FID	AMRN	S	15000	1.75	n/a	n/a	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	BAC	B	40,937	16.77	16-Jan	7-Feb	1,637.48	4.0
PIMCO	084	BA	S	50,000	128.64	n/a	29-Jan	1,000.00	2.0
SIMMONS VENTURES	041	BDE	B	7,500	9.60	n/a	n/a	375.00	5.0
FRED ALGER MGMT	300	BMJ	B	122,476	52.92	n/a	n/a	4,409.14	4.0
DELTEC ASSET MGMT.	040	BONT	B	12,000	10.40	13-Jan	11-Feb	600.00	5.0
CASTLEROCK	040	CAKE	B	2,000	45.75	n/a	12-Feb	80.00	4.0
FIFTH THIRD BANK/FREEMAN	047	CB	B	18,970	84.92	n/a	n/a	758.80	4.0
FIFTH THIRD BANK/FREEMAN	047	CGI	S	13,290	21.05	3-Feb	3-Feb	265.80	2.0
B BUCK CAPITAL MGMT		COH	SS	50,000	47.29	n/a	24-Jan	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL		029 EZA	B	267,900	59.40		n/a	n/a	8,037.00 3.0
WADDELL AND REED	047	FB	B	118,100	64.94	n/a	n/a	4,724.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BTIG/LIGHT STREET CAPITAL	044	FXI	B	50,000	35.92	n/a	n/a	1,500.00	3.0
f MARIO SAPIENZA	FID	GDx	B	1000	24.76	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	GM	B	35,500	35.37	27-Jan	10-Feb	1,420.00	4.0
PEAK INV/OAKMONT/CYPRESS	084	GM	S	250,000	35.37	27-Jan	10-Feb	10,000.00	4.0
f DAVID GEORGE BUCK	FID	GS	S	500	163.98	n/a	7-Feb	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	GS	S	100	164.05	n/a	7-Feb	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	GURU	B	4,000	24.80	n/a	n/a	160.00	4.0
KENBELLE LLC	028	HTLD	S	30,180	20.09	n/a	n/a	905.40	3.0
PRIMECAP MGMT	084	ILMN	B	5,000	159.15	n/a	n/a	200.00	4.0
SCOPUS FUND	041	JWN	SS	25,000	58.39	23-Jan	11-Feb	1,000.00	4.0
f CAROL ANNE LACHENAU	FID	LGND	B	8	75.80	n/a	n/a	0.00	0.0
f DOUGLAS R ROGERS	FID	LGND	B	8	76.00	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID	LGND	B	8	76.01	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LLY	B	3,903	53.95	n/a	n/a	156.12	4.0
f IAN L MILLER	FID	LL	S	12	95.36	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	LO	B	1000	47.82	n/a	n/a	0.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	25,000	17.20	22-Jan	12-Feb	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAR CAPITAL	309	LUV	B	50,000	20.98	24-Jan	12-Feb	2,000.00	4.0
FIFTH THIRD BANK/FREEMAN	047	MS	B	8,000	30.40	n/a	7-Feb	320.00	4.0
THREE G	041	NLSN	S	32,844	45.60	n/a	n/a	985.32	3.0
NEUBERGER BERMAN	036	NTGR	B	20,111	33.45	n/a	n/a	804.44	4.0
f DAVID GEORGE BUCK	FID	NVS	B	1500	81.72	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NVS	B	300	81.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		OWW	B	75,000	6.80	n/a	n/a	non-brg	2.5
FOCUSED INVESTORS	084	PFE	S	101,800	31.68	n/a	n/a	4,072.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	10,000	106.86	3-Feb	5-Feb	300.00	3.0
NEUBERGER BERMAN	036	ROG	B	6,050	57.90	n/a	n/a	242.00	4.0
1798 CAP/LOMBARD ASSET	040	SUNE	S	200,000	13.72	n/a	n/a	10,000.00	5.0
f YANAI A FRANK	FID	SWKS	S	960	32.05	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	TMO	B	4,100	120.93	n/a	n/a	164.00	4.0
T. ROWE PRICE	243	TXI	S	41,510	80.14	n/a	n/a	1,660.40	4.0
SENATOR INVEST GROUP	287	UAL	B	13,800	44.50	24-Jan	12-Feb	414.00	3.0
CASTLE ARK	031	UNP	B	78,065	178.56	24-Jan	24-Jan	3,122.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f IAN L MILLER	FID	USG	S	40	34.48	7-Feb	7-Feb	0.00	0.0
B BUCK CAPITAL MGMT		WAG	S	134,870	65.09	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	WSH	B	5,500	41.88	n/a	n/a	220.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	50,000	30.22	n/a	12-Feb	2,500.00	5.0
f DAVID GEORGE BUCK	FID	XON	B	3000	28.64	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								65,335.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/06	CASTLEROCK	040	TWTR	S	1,946	50.99	n/a	n/a	77.84 0.0
TOTAL (AO, CXL, CRT) :										-77.84

TOTAL (Trade Date):	65,335.50
TOTAL (AO, CXL, CRT):	-77.84

TOTAL (RUN DATE) / NFS:	65,257.66
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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 12-Feb.
NONE

MRI Securities without Trade Activity on 12-Feb.
MNK, HSP

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)