



Daily Compliance Activity Report

Trade Date: 01/24/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AIG	S	100	48.63	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	BKF	S	800	34.58	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	BONT	B	30,000	11.27	13-Jan	23-Jan	1,200.00	4.0
HALCYON LLC	041	CAH	SS	100,000	65.93	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		CAR	B	10,000	38.60	n/a	n/a	non-brg	3.0
JSRG CAPITAL PARTNERS LP	084	CCJ	B	10,000	21.95	n/a	n/a	300.00	3.0
LIONEYE CAPITAL	040	CHMT	B	20,000	25.09	n/a	n/a	1,000.00	5.0
SMITH MGMT/ALDEN GLOBAL		029 CHS	SS	120,000	16.74		n/a	n/a	3,600.00 3.0
CSFB GLOBAL PROPRIETARY	041	CMI	B	10,000	127.12	n/a	17-Jan	500.00	5.0
f MARC PAUL LUCHANSKY	FID	CMI	S	50	127.29	n/a	17-Jan	0.00	0.0
CHARTERBRIDGE CAPITAL	025	COH	C	65,000	48.93	n/a	24-Jan	1,950.00	3.0
B BUCK CAPITAL MGMT		CRCM	S	1,000	21.21	n/a	n/a	non-brg	2.5
LATEEF MGMT	033	DAL	S	250	31.42	22-Jan	22-Jan	30.00	12.0
CLOVIS CAPITAL	033	DAR	S	25,000	20.23	n/a	n/a	1,250.00	5.0
SENATOR INVEST GROUP	287	DE	SS	150,000	86.43	n/a	n/a	4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		DFS	S	18,200	55.02	13-Jan	24-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DHI	B	25,000	21.01	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	DXLG	B	42,200	5.51	n/a	n/a	2,110.00	5.0
J. GOLDMAN	028	EAT	S	11,000	49.73	n/a	n/a	440.00	4.0
SCOPUS FUND	041	EAT	S	20,000	49.68	n/a	n/a	800.00	4.0
CORNERSTONE	030	EBAY	S	14,499	54.28	n/a	n/a	579.96	4.0
f KELLY ELIZABETH CLIF	FID	FILEX	B	26	10.39	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	B	35	10.39	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	FINL	B	30,000	25.51	n/a	23-Jan	1,500.00	5.0
SMITH MGMT/ALDEN GLOBAL		029 FINL		SS	39,000	25.37	n/a	23-Jan	1,170.00 3.0
SMITH MGMT/ALDEN GLOBAL		029 FL		SS	26,500	37.79	n/a	23-Jan	795.00 3.0
BALYASNY ASSET MGMT	044	FMC	SS	25,000	72.71	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		FNP	S	20,000	28.32	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	20,000	20.54	n/a	24-Jan	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		FOSL	S	10,000	113.64	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FWM	S	25,000	11.52	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		FWM	S	25,000	11.79	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTIG/LIGHT STREET CAPITAL	044	FXI	SS	50,000	34.42	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	F	B	124,917	15.92	n/a	24-Jan	4,996.68	4.0
INTERVAL PARTNERS	033	GIII	B	4,800	68.50	24-Jan	24-Jan	144.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	16,000	37.00	n/a	24-Jan	480.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	S	25,000	37.66	n/a	24-Jan	750.00	3.0
f RACHEL A.K. FEINSTEI	FID	GOOG	B	10	1139.50	n/a	n/a	0.00	0.0
PAR CAPITAL	309	HA	C	25,000	10.57	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	46.37	n/a	24-Jan	1,500.00	5.0
f TIFFANY KANAGA	FID	JBLU	B	630	8.85	n/a	17-Jan	0.00	0.0
f ALANA J A MADIGAN-SI	FID	JCP	B	300	6.69	9-Jan	23-Jan	0.00	0.0
LATEEF MGMT	033	JNJ	B	100	91.48	n/a	n/a	30.00	30.0
B BUCK CAPITAL MGMT		KORS	S	31,000	80.44	24-Jan	24-Jan	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL	029	KSS	SS	40,000	50.36		23-Jan 14-Jan	1,200.00	3.0
KADE CAPITAL LLC	028	KSU	B	5,000	95.84	n/a	24-Jan	250.00	5.0
WADDELL AND REED	047	KSU	S	475,806	101.83	n/a	24-Jan	19,032.24	4.0
Õ Jack Chernus		LEA	S	1000	77.06	n/a	16-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMAS CAPITAL	040	LPX	B	113,000	17.51	22-Jan	24-Jan	3,390.00	3.0
CHARTERBRIDGE CAPITAL	025	LULU	C	35,000	47.15	17-Jan	24-Jan	1,050.00	3.0
f DAVID GEORGE BUCK	FID	MAR	B	400	49.88	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MAR	B	400	49.86	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	MCD	C	30,000	95.40	n/a	24-Jan	1,500.00	5.0
f MARC PAUL LUCHANSKY	FID	MLI	S	200	61.11	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL	040	MS	B	61,751	30.44	9-Jan	21-Jan	1,852.53	3.0
TROVE CAPITAL MANAGEMENT	237	MWA	B	20,000	8.59	n/a	n/a	600.00	3.0
CRAMER ROSENTHAL	070	MWV	S	50,000	35.80	n/a	24-Jan	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	130,000	35.96	n/a	24-Jan	6,500.00	5.0
KLEINHEINZ CAP PART	031	NFLX	B	5,000	388.27	n/a	n/a	250.00	5.0
SCOGGIN LLC	041	NI	B	66,000	33.99	n/a	n/a	3,300.00	5.0
DC CAPITAL	044	NPO	B	36,800	73.07	n/a	n/a	1,472.00	4.0
WADDELL AND REED	047	PCP	B	116,048	259.78	16-Jan	23-Jan	4,641.92	4.0
B BUCK CAPITAL MGMT		PETM	C	5,970	62.68	n/a	n/a	non-brg	4.0
JSRG CAPITAL PARTNERS LP	084	QTWW	B	10,000	8.16	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
J. GOLDMAN	028	SBUX	S	50,000	75.71	n/a	24-Jan	2,000.00	4.0	
f EDWARD W WHEELER	FID	SDS	S	10000	31.35	n/a	n/a	0.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL	040	SID	SS	300,000	4.90	n/a	n/a	9,000.00	3.0	
B BUCK CAPITAL MGMT		SONC	B	50,000	19.21	n/a	17-Jan	non-brg	4.0	
B BUCK CAPITAL MGMT		SPN 6 C30	B	600	0.38	n/a	n/a	non-brg	100.0	
SMITH MGMT/ALDEN GLOBAL	029	SSI	SS	101,000	19.76		23-Jan	9-Jan	3,030.00	3.0
FINDLAY PARK PART	085	STT	B	78,000	69.67	9-Jan	24-Jan	8,151.88	10.0	
f MARC PAUL LUCHANSKY	FID	SWN	S	250	41.86	n/a	n/a	0.00	0.0	
ADAGE CAPITAL MGMT	030	SWY	B	100,000	31.07	n/a	n/a	3,000.00	3.0	
CRAMER ROSENTHAL	070	SWY	B	47,750	31.10	n/a	n/a	1,910.00	4.0	
LATEEF MGMT	033	SWY	B	500	31.09	n/a	n/a	50.00	10.0	
ARDSLEY PARTNERS/RIDGECREST	306	TEN	S	10,000	54.03		n/a	n/a	500.00	5.0
T. ROWE PRICE	243	TISI	S	12,456	44.96	n/a	n/a	498.24	4.0	
LATEEF MGMT	033	TRV	B	100	82.30	n/a	n/a	30.00	30.0	
f MARC PAUL LUCHANSKY	FID	TSLA	S	20	176.08	n/a	n/a	0.00	0.0	
f MARC PAUL LUCHANSKY	FID	TSU	S	200	26.07	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	UAL	S	175	46.59	24-Jan	24-Jan	31.50	18.0
ß BUCK CAPITAL MGMT		ULTA	S	25,000	84.88	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	S	58,100	84.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	S	68,632	84.26	n/a	n/a	non-brg	4.0
LAKWOOD CAPITAL MGMT	085	VEEV	SS	5,000	31.29	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		VSI	SS	22,000	46.59	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	281	WAG	B	12,500	58.37	n/a	n/a	625.00	5.0
ß BUCK CAPITAL MGMT		WFM	SS	39,300	51.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WFM	SS	46,100	51.78	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	WFSTF	B	3000	2.03	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	WMAR	B	300	13.40	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WYNN	S	100	193.89	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	ZTS	S	124,000	31.43	n/a	n/a	6,200.00	5.0
TOTAL (Trade Date):							119,890.95		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	01/17	NWQ INVESTMENT MGMT CO	084	FOR	S	12,935	20.34	n/a-2014-01-24	452.73 0.0
AO,CXL	01/17	NWQ INVESTMENT MGMT CO	084	FOR	S	12,935	20.34	n/a-2014-01-24	394.52 0.0

TOTAL (AO, CXL, CRT) :	58.21
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TOTAL (Trade Date) :	119,890.95
TOTAL (AO, CXL, CRT) :	58.21

TOTAL (RUN DATE) / NFS:	119,949.16
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	01/23	BUCK CAPITAL MGMT	CRCM	B	1,000	17.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 24-Jan.

GIII, KORS, UAL

MRI Securities without Trade Activity on 24-Jan.

ALK, VFC, RJF, LUV, PVH, HBI, SLXP, UNP, GES, GIL

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)