



Daily Compliance Activity Report

Trade Date: 12/26/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	BURL	B	10,000	31.68	n/a	n/a	400.00	4.0
FRONTFOUR CAPITAL	046	CMCSA	S	17,974	51.40	19-Dec[i]	19-Dec	539.22	3.0
LATEEF MGMT	033	DOW	S	125	44.86	n/a	n/a	31.25	25.0
f JONATHAN RICHARD HAR	FID	FBGRX	B	1581	63.26	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	FCNTX	B	1042	96.00	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	FCPGX	B	3123	19.21	n/a	n/a	0.00	0.0
LATEEF MGMT	033	FCX	S	100	36.97	n/a	n/a	25.00	25.0
f JONATHAN RICHARD HAR	FID	FEQTX	B	2449	24.50	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	FMCSX	B	2037	39.28	n/a	n/a	0.00	0.0
LISTED ERR	099	FOX	B	100	34.41	n/a	n/a	0.00	0.0
LISTED ERR	099	FOX	S	100	34.38	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FSEVX	B	23	53.20	n/a	n/a	0.00	0.0
LATEEF MGMT	033	GE	S	175	27.88	n/a	n/a	35.00	20.0
LATEEF MGMT	033	GSPRD	B	150	18.40	n/a	n/a	30.00	20.0
BTG PACTUAL	040	JBLU	B	25,000	8.58	5-Dec	23-Dec	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	28,700	8.57	5-Dec	23-Dec	861.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	20,900	44.90	n/a	11-Dec	1,045.00	5.0
COUGAR TRADING	044	LULU	B	10,000	59.76	13-Dec	26-Dec	500.00	5.0
SCOPUS FUND	041	LULU	S	25,000	59.63	13-Dec	26-Dec	1,000.00	4.0
TYEE/TYGH	033	NAV	B	5,000	37.93	n/a	20-Dec	200.00	4.0
ß BUCK CAPITAL MGMT		NVGS	S	23,211	26.59	n/a	n/a	non-brg	3.0
Õ Jack Chernus		OCZ	S	1500	0.06	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	085	RCL	S	24,786	47.21	n/a	n/a	991.44	4.0
LATEEF MGMT	033	SPLS	S	150	15.91	n/a	n/a	27.00	18.0
TOTAL (Trade Date):								6,434.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	12/24	FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.62	n/a-2013-12-17	600.00 3.0
AO,CXL	12/24	FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.62	n/a-2013-12-17	400.00 0.0
AO,CRT	12/24	SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	8.47	n/a-2013-12-04	1500.00 0.0
AO,CXL	12/24	SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	8.47	n/a-2013-12-04	1500.00 0.0
AO,CXL	12/24	FRONTFOUR CAPITAL	046	WNC	B	10,000	12.43	n/a-2013-12-19	200.00 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL	046	WNC	B	10,000	12.43	n/a-2013-12-19	300.00 3.0

TOTAL (AO, CXL, CRT) :**300.00**

TOTAL (Trade Date):

6,434.91

TOTAL (AO, CXL, CRT):

300.00

TOTAL (RUN DATE) / NFS:**6,734.91**

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 26-Dec.
NONE

MRI Securities without Trade Activity on 26-Dec.
NONE

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)