



Daily Compliance Activity Report

Trade Date: 12/20/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	AAL	S	31,250	26.28	n/a	19-Dec	937.50	3.0
f DAVID GEORGE BUCK	FID	ACWV	S	2000	62.63	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ALK	C	28,000	72.16	n/a	19-Dec	non-brg	4.0
STATE OF WISCONSIN	047	AMGN	S	60,000	114.33	n/a	n/a	2,400.00	4.0
SAC CAPITAL/M GRONET	030	ANN	B	10,000	36.63	n/a	n/a	300.00	3.0
SHEFFIELD ASSET MGMT	031	ARO	S	100,000	8.47	n/a	n/a	3,000.00	3.0
WHITE PINE CAPITAL	030	ARO	S	900	8.51	n/a	n/a	45.00	5.0
FORWARD MGMT	033	BEE	S	50,000	9.46	n/a	n/a	2,000.00	4.0
STATE OF WISCONSIN	047	BMV	S	80,000	53.45	n/a	n/a	3,200.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	CCK	S	40,000	43.57	n/a	n/a	1,200.00	3.0
BARON ASSET MGMT*	006	CHRW	S	25,000	56.82	n/a	19-Dec	1,000.00	4.0
FINDLAY PARK PART	085	CHTR	S	78,000	129.99	19-Dec[i]	19-Dec	15,209.27	19.0
APEX CAPITAL MGMT.	033	CLF	B	50,000	24.46	n/a	n/a	2,000.00	4.0
SCOPUS FUND	041	CLF	S	20,200	24.67	n/a	n/a	808.00	4.0
DAVIDSON INV ADV	033	CPT	B	7,200	56.50	n/a	n/a	288.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLEARLINE CAPITAL LLC	006	CPWR	S	40,000	11.16	n/a	n/a	1,200.00	3.0
SCOUT/UMB	047	CVD	S	1,700	86.19	n/a	n/a	51.00	3.0
f DAVID GEORGE BUCK	FID	CVS	B	1530	35.97	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CVS	B	300	70.65	n/a	n/a	0.00	0.0
SAC CAPITAL/M GRONET	030	DPS	B	50,000	48.40	n/a	n/a	1,500.00	3.0
ROVER CAPITAL PARTNERS	040	DPZ	S	2,000	68.57	n/a	n/a	80.00	4.0
HARVEST MGMT	029	EA	B	20,000	23.44	n/a	n/a	800.00	4.0
KAYNE ANDERSON ADV	084	EPR	S	4,680	49.24	n/a	n/a	187.20	4.0
BRONSON POINT	036	FDX	B	8,384	140.75	17-Dec	19-Dec	251.52	3.0
CASTLEROCK	040	FINL	S	10,000	27.72	20-Dec	20-Dec	200.00	2.0
KLEINHEINZ CAP PART	031	FOXA	B	50,000	34.52	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	FOXA	B	19,550	34.24	n/a	n/a	782.00	4.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086		FOXA	B		30,000	34.24	n/a	n/a	900.00 3.0
f MANNY I KORMAN	FID	GILD	B	9000	74.20	n/a	n/a	0.00	0.0
HARVEST MGMT	029	GME	S	10,000	49.61	n/a	n/a	400.00	4.0
FRONTFOUR CAPITAL	046	GM	B	20,000	40.65	n/a	19-Dec	600.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	B	25,000	40.59	n/a	19-Dec	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	GPI	SS	15,000	70.11	n/a	17-Dec	450.00	3.0
CORNERSTONE	030	HD	B	99,608	80.54	n/a	n/a	2,988.24	3.0
NORTHWESTERN MUTUAL LIFE	047	HIG	B	114,000	35.77	n/a	n/a	4,560.00	4.0
KAYNE ANDERSON ADV	084	INT	B	4,685	42.59	n/a	n/a	187.40	4.0
BRANDWINE	028	ITW	S	187,920	82.22	n/a	n/a	7,516.80	4.0
DC CAPITAL	044	JNY	S	27,500	14.81	20-Dec	20-Dec	1,100.00	4.0
DEPRINCE, RACE & ZOLLO	093	JNY	S	171,600	14.82	20-Dec	20-Dec	5,148.00	3.0
B BUCK CAPITAL MGMT		KORS	S	4,913	83.49	n/a	n/a	non-brg	4.0
TIDE POINT CAPITAL	028	LEA	S	33,200	79.97	n/a	17-Dec	996.00	3.0
IRIDIAN ASSET MGMT.	036	LSI	S	109,810	10.95	n/a	n/a	5,490.50	5.0
f EDWARD W WHEELER	FID	MRC	S	10000	31.68	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	MTW	B	20,025	22.51	n/a	n/a	600.75	3.0
STELLIAM INV ADV	086	MU	B	15,000	21.80	n/a	n/a	600.00	4.0
HARVEST MGMT	029	M	S	10,000	52.20	n/a	2-Dec	400.00	4.0
COUGAR TRADING	044	NAV	B	15,000	38.75	n/a	20-Dec	750.00	5.0
COUGAR TRADING	044	NAV	S	15,000	38.24	n/a	20-Dec	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	033	NAV	B	19,492	38.00	n/a	20-Dec	779.68	4.0
STATE OF WISCONSIN	047	NI	S	9,152	33.08	n/a	n/a	366.08	4.0
WHITE PINE CAPITAL	030	NLY	S	800	10.10	n/a	n/a	40.00	5.0
RIDGECREST INV MGMT LLC	028	OEF	B	10,000	81.53	n/a	n/a	400.00	4.0
GLG PARTNERS	280	ORCL	SS	100,000	36.55	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		PCLN	SS	1,000	1193.99	n/a	n/a	non-brg	4.0
SAC CAPITAL/M GRONET	030	PEP	SS	10,000	81.88	n/a	n/a	300.00	3.0
WHITE PINE CAPITAL	030	PGX	B	2,700	13.50	n/a	n/a	135.00	5.0
HARVEST MGMT	029	PIR	B	10,000	22.00	n/a	n/a	400.00	4.0
RIDGECREST INV MGMT LLC	028	QQQ	B	10,000	86.42	n/a	n/a	400.00	4.0
RIDGECREST INV MGMT LLC	028	QQQ	S	25,000	86.48	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		RAD	B	200,000	4.97	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	SDS	B	10000	30.78	n/a	n/a	0.00	0.0
LAKEWOOD CAPITAL MGMT	085	SFXE	SS	15,000	10.57	n/a	n/a	450.00	3.0
SCOUT/UMB	047	SLXP	S	1,700	85.85	n/a	19-Dec	51.00	3.0
B BUCK CAPITAL MGMT		SPN	B	20,000	25.11	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CLIFFORD A LONGLEY	FID	SPY	B	3	181.74	n/a	n/a	0.00	0.0
f CLIFFORD A LONGLEY	FID	SSLT	S	7	12.94	n/a	n/a	0.00	0.0
STATE OF WISCONSIN	047	TIBX	B	72,791	20.98	n/a	n/a	2,911.64	4.0
DISCIPLINED GROWTH INV.	030	TJX	S	4,800	62.51	20-Nov	20-Nov	240.00	5.0
f DAVID GEORGE BUCK	FID	TOT	S	2000	59.53	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	TOT	S	500	59.52	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	TOT	S	200	59.52	n/a	n/a	0.00	0.0
GLG PARTNERS	280	UNP	S	23,125	164.22	2-Dec	19-Dec	1,156.25	5.0
FOUNDRY PARTNERS LLC	030	V	B	6,156	216.65	n/a	19-Dec	246.24	4.0
B BUCK CAPITAL MGMT		WAG	B	33,000	55.66	n/a	n/a	non-brg	4.0
KAYNE ANDERSON ADV	084	WDFC	S	9,320	74.06	n/a	n/a	372.80	4.0
SCOUT/UMB	047	WDR	S	9,000	63.62	n/a	n/a	270.00	3.0
ROVER CAPITAL PARTNERS	040	WEN	S	5,000	8.58	n/a	n/a	200.00	4.0
CRAMER ROSENTHAL	070	WWE	B	12,451	15.10	n/a	n/a	498.04	4.0
DISCIPLINED GROWTH INV.	030	YHOO	S	2,500	40.48	n/a	n/a	125.00	5.0

TOTAL (Trade Date):

89,468.91

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/19	FIRST NEW YORK	086	AMD	B	20,000	3.67	n/a	n/a	1000.00 0.0
AO,CRT	12/19	FIRST NEW YORK	086	AMD	B	20,000	3.67	n/a	n/a	800.00 0.0
AO,CRT	12/19	FORWARD MGMT	033	CVC	S	20,000	16.93-2013-12-19	n/a	n/a	800.00 0.0
AO,CXL	12/19	FORWARD MGMT	033	CVC	S	20,000	16.93-2013-12-19	n/a	n/a	800.00 0.0
AO,CXL	12/19	CASTLEROCK	040	FINL	B	10,000	26.27-2013-12-20-2013-12-20			400.00 0.0
AO,CRT	12/19	CASTLEROCK	040	FINL	B	10,000	26.27-2013-12-20-2013-12-20			200.00 0.0
AO,CRT	12/19	GLG PARTNERS	280	MRO	S	27,262	34.49	n/a	n/a	1363.10 0.0
AO,CXL	12/19	GLG PARTNERS	280	MRO	S	27,262	34.49	n/a	n/a	1363.10 0.0

TOTAL (AO, CXL, CRT) :	-400.00
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TOTAL (Trade Date) :	89,468.91
TOTAL (AO, CXL, CRT) :	-400.00

TOTAL (RUN DATE) / NFS :	89,068.91
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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 20-Dec.

FINL, JNY

MRI Securities without Trade Activity on 20-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)