



Daily Compliance Activity Report

Trade Date: 10/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ABCO	S	601	69.25		n/a	n/a	12.02 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ACHC	S	1,894	39.16		n/a	n/a	37.88 0.0
BNP PARIBAS SEC	040	AEO	S	106,833	15.16	n/a	2-Dec	3,204.99	0.0
PIIONEER OAKRIDGE	031	ALGN	S	50,000	56.58	n/a	n/a	1,500.00	0.0
BMO / M&I FUNDS	047	ALKS	S	3,618	36.38	n/a	n/a	144.72	0.0
CAPITAL RESEARCH GROUP	296	APD	S	117,000	108.44		n/a	n/a	4,095.00 0.0
SANDLER CAPITAL	028	APD	S	50,000	108.10	n/a	n/a	2,500.00	0.0
SENATOR INVESTMENT GROUP	287	APD	B	250,000	108.19	n/a	n/a	7,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATHN	S	713	136.89		n/a	n/a	14.26 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATU	S	2,383	38.21		n/a	n/a	47.66 0.0
BESSEMER INVESTMENT	085	AVGO	S	2,090	46.07	n/a	n/a	83.60	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AWAY	S	1,438	29.84		n/a	n/a	28.76 0.0
BESSEMER INVESTMENT	085	AWK	S	1,925	42.50	n/a	n/a	77.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	S	3,820	35.09		n/a	n/a	76.40 0.0
BASSWOOD PARTNERS	267	BAC	B	46,594	14.18	n/a	17-Jun	1,863.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BANR	S	1,457	38.84	n/a	n/a	29.14	0.0	
KEY ASSET MGMT/VICTORY	220	BA	S	58,730	129.15	n/a	11-Jun	2,349.20	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BC	S	2,498	45.23	n/a	n/a	49.96	0.0	
LATEEF MGMT	033	BDNPRE	B	350	23.39	n/a	n/a	35.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BECN	S	2,299	36.01	n/a	n/a	45.98	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BJRI	S	764	26.17	n/a	n/a	15.28	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BLOX	S	3,379	44.81	n/a	n/a	67.58	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BZH	S	4,417	18.86	n/a	n/a	88.34	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CAR	S	1,266	28.87	n/a	n/a	25.32	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CASY	S	1,028	73.71	n/a	n/a	20.56	0.0	
MOORE CAPITAL	257	CAT	SS	70,000	83.39	n/a	11-Jul	2,100.00	0.0	
TUDOR INVESTORS	028	CAT	B	10,000	83.95	n/a	11-Jul	300.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CAVM	S	2,697	37.59	n/a	n/a	53.94	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CEB	S	1,373	76.00	n/a	n/a	27.46	0.0	
SENATOR INVESTMENT GROUP	287	CIE	SS	330,000	23.77	n/a	n/a	9,900.00	0.0	
MOORE CAPITAL	257	CMCSA	S	45,000	47.72	n/a	n/a	1,350.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			CNC	S	1,192	58.66	n/a	n/a	23.84 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			CSGP	S	448	181.03	n/a	n/a	8.96 0.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	26.46	n/a	18-Jun	500.00	0.0
DEPRINCE, RACE & ZOLLO	093	DAN	S	100,000	19.37	n/a	19-Jun	4,000.00	0.0
INTERVAL PARTNERS	033	DAN	C	95,000	19.51	n/a	19-Jun	2,850.00	0.0
TUDOR INVESTORS	028	DE	B	5,000	82.34	n/a	11-Jul	150.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DGI	S	3,396	30.80	n/a	n/a	67.92 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DSX	S	4,131	11.64	n/a	n/a	82.62 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DW	S	1,431	50.93	n/a	n/a	28.62 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DXCM	S	2,445	29.68	n/a	n/a	48.90 0.0
MOORE CAPITAL	257	EBAY	C	20,000	53.24	n/a	n/a	600.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			EGP	S	852	63.91	n/a	n/a	17.04 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ELGX	S	2,425	17.53	n/a	n/a	48.50 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ELLI	S	2,434	30.17	n/a	n/a	48.68 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ENV	S	2,483	37.91	n/a	n/a	49.66 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			EXAM	S	3,208	27.63	n/a	n/a	64.16 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
TUDOR INVESTORS	028	EXPD	S	5,000	46.50	n/a	n/a	150.00	0.0	
PAULSON & CO INC	041	FDX	S	83,800	132.42	n/a	n/a	3,352.00	0.0	
AH LISANTI	006	FIVE	B	11,235	49.71	n/a	13-Jun	561.75	0.0	
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	23.22	n/a	9-May	400.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			FUL	S	1,577	48.00	n/a	n/a	31.54	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			FURX	S	1,531	40.59	n/a	n/a	30.62	0.0
SENATOR INVESTMENT GROUP	287	GES	SS	20,739	31.50	n/a	31-May	622.17	0.0	
BRONSON POINT	036	GE	S	150,000	26.24	n/a	n/a	4,500.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GME	S	1,663	55.32	n/a	n/a	33.26	0.0
MOORE CAPITAL	257	GM	B	20,000	36.17	n/a	19-Jun	600.00	0.0	
ROSEDALE CAPITAL	046	GM	S	20,000	35.92	n/a	19-Jun	800.00	0.0	
TUDOR INVESTORS	028	GM	S	15,000	35.91	n/a	19-Jun	450.00	0.0	
CAMBIAR CAP	046	GPI	B	72,892	64.13	n/a	19-Jun	2,915.68	0.0	
CADIAN CAPITAL	041	GPS	SS	14,000	37.53	n/a	n/a	420.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GWRE	S	1,536	50.91	n/a	n/a	30.72	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GWR	S	630	101.44	n/a	n/a	12.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	GWR	S	5,000	101.27	n/a	n/a	150.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HAE	S	1,016	41.26	n/a	n/a	20.32 0.0
SENATOR INVESTMENT GROUP	287	HAL	S	250,000	52.80	n/a	n/a	7,500.00	0.0
SENATOR INVESTMENT GROUP	287	HAS	B	97,655	53.38	n/a	n/a	2,929.65	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HIMX	S	7,593	10.28	n/a	n/a	151.86 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HLS	S	2,868	35.18	n/a	n/a	57.36 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HMSY	S	1,711	21.27	n/a	n/a	34.22 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HOS	S	740	58.17	n/a	n/a	14.80 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HVT	S	1,531	26.16	n/a	n/a	30.62 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HXL	S	1,584	42.75	n/a	22-Apr	31.68 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ININ	S	1,335	64.38	n/a	n/a	26.70 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			IRWD	S	3,740	9.99	n/a	n/a	74.80 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			JACK	S	1,917	40.63	n/a	n/a	38.34 0.0
SCOPIA CAPITAL	025	JBLU	S	133,000	7.28	n/a	18-Jun	5,320.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	145,040	7.28	n/a	18-Jun	5,801.60 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			JLL	S	735	95.75	n/a	n/a	14.70 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	JWN	B	25,000	60.37	n/a	18-Jun	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			KERX	S	9,178	10.75	n/a	n/a	183.56 0.0
HERRING CREEK CAPITAL	040	MS	B	29,300	29.21	n/a	6-Jun	879.00	0.0
OSKIE CAPITAL MGMT	224	MWV	S	80,000	36.00	n/a	18-Jun	4,000.00	0.0
TUDOR INVESTORS	028	MWV	S	10,000	35.26	n/a	18-Jun	300.00	0.0
CORTEX CAPITAL	031	M	B	45,000	46.13	n/a	18-Jun	1,350.00	0.0
S.A.C. CAPITAL	044	M	B	35,000	46.00	n/a	18-Jun	1,050.00	0.0
BESSEMER INVESTMENT	085	NLSN	S	2,005	39.20	n/a	n/a	80.20	0.0
BMO / M&I FUNDS	047	ORLY	B	2,110	124.04	n/a	n/a	84.40	0.0
BESSEMER INVESTMENT	085	PFE	S	3,511	31.29	n/a	n/a	140.44	0.0
IVORY CAPITAL	084	PFE	S	100,000	31.24	n/a	n/a	5,000.00	0.0
TUDOR INVESTORS	028	PNR	SS	5,000	67.55	n/a	n/a	150.00	0.0
ZWEIG FUNDS	006	RYN	B	35,000	47.33	n/a	25-Jan	1,750.00	0.0
T. ROWE PRICE	243	SSD	B	14,492	35.60	n/a	n/a	579.68	0.0
TUDOR INVESTORS	028	SWK	S	5,000	79.39	n/a	n/a	150.00	0.0
1798 CAP/LOMBARD ASSET	040	SYI	SS	15,000	32.86	n/a	n/a	750.00	0.0
TUDOR INVESTORS	028	TEX	B	10,000	34.86	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TMO	S	455	98.00	n/a	n/a	18.20	0.0
NEWLAND CAPITAL MGT	025	TOWR	S	17,300	21.58	n/a	n/a	692.00	0.0
COHE & STEERS	041	TPH	S	275,647	16.11	n/a	n/a	8,269.41	0.0
TUDOR INVESTORS	028	TRW	B	3,000	75.81	n/a	n/a	90.00	0.0
ASCEND PARTNERS	033	TWI	C	7,970	14.64	n/a	n/a	239.10	0.0
SENATOR INVESTMENT GROUP	287	TYC	B	205,638	36.42	n/a	26-Apr	6,169.14	0.0
SENATOR INVESTMENT GROUP	287	T	SS	250,000	36.25	n/a	n/a	7,500.00	0.0
FIRST NY SEC/CHRIS	041	UAL	B	10,000	33.37	n/a	18-Jun	500.00	0.0
LOMAS CAPITAL	040	UAL	B	183,000	33.70	n/a	18-Jun	5,490.00	0.0
BESSEMER INVESTMENT	085	UNP	S	1,245	151.97	n/a	n/a	49.80	0.0
TUDOR INVESTORS	028	UNP	B	5,000	151.16	n/a	n/a	150.00	0.0
SYMPHONY ASSET	033	URBN	S	31,890	38.20	n/a	n/a	956.70	0.0
RIDGECREST INV MGMT LLC	028	USO	B	20,000	35.43	n/a	n/a	800.00	0.0
BESSEMER INVESTMENT	085	VIAB	S	750	84.67	n/a	n/a	30.00	0.0
BESSEMER INVESTMENT	085	WAG	S	1,390	59.59	n/a	n/a	55.60	0.0
TUDOR INVESTORS	028	WNC	B	10,600	12.40	n/a	n/a	318.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	XHB	B	10,000	31.20	n/a	n/a	300.00	0.0
TOTAL (Trade Date):							132,464.93		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/28	PALESTRA (PALECS)	044	AMCX	B	10,000	69.75	n/a	n/a	300.00 0.0
AO,CXL	10/28	VISIUM/BALY BOBBY (VISBCSFB)	044	AMCX	B	10,000	69.75	n/a	n/a	300.00 0.0
AO,	10/28	OZ MGMT (OZFFML)	040	BA	B	2,955	129.64	n/a	11-Jun	88.65 0.0
AO,	10/28	OZ MGMT (OZFFJPMBS)	040	BA	B	621	129.64	n/a	11-Jun	18.63 0.0
AO,	10/28	OZ MGMT (OZFFCSFB)	040	BA	B	28,397	129.64	n/a	11-Jun	851.91 0.0
AO,CXL	10/28	OZ MGMT (OZFFGS)	040	BA	B	32,646	129.64	n/a	11-Jun	1632.30 0.0
AO,	10/28	OZ MGMT (OZFFGS)	040	BA	B	673	129.64	n/a	11-Jun	20.19 0.0
AO,CXL	10/28	FSI GROUP, LLC (FSIGMS)	047	WETF	B	33,872	14.20	n/a	n/a	1693.60 0.0
AO,CRT	10/28	FSI GROUP, LLC (FSIGMS)	047	WETF	B	33,872	14.20	n/a	n/a	1354.88 4.0
AO,CXL	10/28	FSI GROUP, LLC (FSIGDB)	047	WETF	B	66,128	14.20	n/a	n/a	3306.00 0.0
AO,CRT	10/28	FSI GROUP, LLC (FSIGDB)	047	WETF	B	66,128	14.20	n/a	n/a	2645.12 4.0

TOTAL (AO, CXL, CRT) :**-1,652.52**

TOTAL (Trade Date):

132,464.93

TOTAL (AO, CXL, CRT):

-1,652.52

TOTAL (RUN DATE) / NFS:**130,812.41**

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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