



Daily Compliance Activity Report

Trade Date: 02/11/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	AAPL	B	50	533.85	n/a	n/a	2.00	0.0
FRED ALGER MGMT	300	ABCO	B	4,802	59.00	n/a	n/a	172.87	0.0
BROADARCH CAP/OLD NEWC	006	APD	B	500	111.29	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	ARG	B	500	104.92	n/a	n/a	20.00	0.0
SUFFOLK CAPITAL MGMT	040	AXP	B	99,800	88.65	n/a	n/a	3,992.00	0.0
BADGE CAPITAL	030	BONT	B	1,000	10.52	n/a	n/a	35.00	0.0
HERRING CREEK CAPITAL	040	BSX	S	45,921	12.82	n/a	n/a	1,377.63	0.0
BROADARCH CAP/OLD NEWC	006	BWA	B	500	54.42	n/a	n/a	20.00	0.0
CASTLEROCK	040	CAKE	B	2,000	45.20	n/a	n/a	40.00	0.0
HOLLIS CAPITAL	033	CAKE	B	12,000	45.38	n/a	n/a	600.00	0.0
GAMCO ASSET MNGMT	025	CNX	B	30,000	37.96	n/a	n/a	1,200.00	0.0
BROADARCH CAP/OLD NEWC	006	CVS	B	2,000	68.89	n/a	n/a	80.00	0.0
NUDGE CAPITAL FUND LP	006	CVS	B	5,000	68.50	n/a	n/a	150.00	0.0
NUDGE CAPITAL FUND LP	006	CVS	S	5,000	69.51	n/a	n/a	150.00	0.0
BROADARCH CAP/OLD NEWC	006	C	B	1,500	49.42	n/a	n/a	60.00	0.0
BROADARCH CAP/OLD NEWC	006	DD	B	1,000	63.62	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	DNKN	S	5,900	49.44	n/a	n/a	212.40	0.0
BROADARCH CAP/OLD NEWC	006	FFIV	B	500	109.56	n/a	n/a	20.00	0.0
TROUBH PART	070	FRX	B	10,000	69.64	n/a	n/a	500.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	C	38,000	14.95	n/a	n/a	1,140.00	0.0
CADIAN CAPITAL	041	GPC	C	18,000	83.07	n/a	n/a	540.00	0.0
BROADARCH CAP/OLD NEWC	006	GRPN	S	4,000	10.41	n/a	n/a	160.00	0.0
GAMCO ASSET MNGMT	025	HAL	B	10,000	53.37	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	006	HUN	B	4,000	23.08	n/a	n/a	160.00	0.0
FRED ALGER MGMT	300	ICPT	S	2,305	375.01	n/a	n/a	82.98	0.0
BROADARCH CAP/OLD NEWC	006	IP	B	500	48.57	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	IR	B	500	58.95	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	IR	S	3,500	57.58	n/a	n/a	140.00	0.0
NOKOMIS PARTNERS	031	IWM	SS	13,000	112.10	n/a	n/a	390.00	0.0
BTG PACTUAL	040	JBLU	B	50,000	8.49	n/a	n/a	1,500.00	0.0
JETSTREAM GLOBAL FUND LP	065	JKS	S	22,300	30.00	n/a	n/a	1,115.00	0.0
ASCEND PARTNERS	033	JWN	SS	50,000	59.04	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	KMI	S	150,000	33.92	n/a	n/a	6,000.00	0.0
PROSPECTOR PARTNERS	036	KO	B	10,000	38.63	n/a	n/a	400.00	0.0
Õ Doug Rogers		LGND	B	5	69.9000	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	5	70.1100	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	7	70.2000	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LLY	B	5,000	54.24	n/a	n/a	200.00	0.0
BROADARCH CAP/OLD NEWC	006	MAS	B	1,500	22.62	n/a	n/a	60.00	0.0
FRONTIER	309	MDRX	B	174,787	16.73	n/a	n/a	6,991.48	0.0
FRED ALGER MGMT	300	MGM	S	347	25.24	n/a	n/a	12.49	0.0
CORTEX CAPITAL	031	MMM	B	10,000	130.78	n/a	n/a	300.00	0.0
BROADARCH CAP/OLD NEWC	006	MON	B	500	110.78	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	MS	B	3,000	30.02	n/a	n/a	120.00	0.0
SCOPUS FUND	041	M	B	30,000	53.62	n/a	n/a	1,200.00	0.0
GAMCO ASSET MNGMT	025	NEM	B	29,000	22.82	n/a	n/a	1,160.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	NSC	C	2,500	93.65		n/a	n/a	100.00 0.0
NEUBERGER BERMAN	036	NTGR	B	32,589	33.01	n/a	n/a	1,303.56	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAMCO ASSET MNGMT	025	NWSA	S	100,000	17.89	n/a	n/a	3,000.00	0.0
SANDLER O'NEILL ASSET	031	ONB	B	9,916	13.48	n/a	n/a	495.80	0.0
BROADARCH CAP/OLD NEWC	006	OXY	B	500	92.07	n/a	n/a	20.00	0.0
CAPITAL WORLD	084	PEP	S	44,175	80.68	n/a	n/a	1,546.13	0.0
GALT INVESTMENT	041	PLCE	S	5,539	52.62	n/a	n/a	276.95	0.0
GAMCO ASSET MNGMT	025	PSX	B	25,000	73.68	n/a	n/a	1,000.00	0.0
EPOCH INV MGMT	030	RDSA	B	14,600	70.28	n/a	n/a	438.00	0.0
THREE G	041	RLGY	B	66,152	45.38	n/a	n/a	1,984.56	0.0
NEUBERGER BERMAN	036	ROG	B	3,800	57.57	n/a	n/a	152.00	0.0
BALYASNY ASSET MGMT	044	ROST	S	50,531	69.66	n/a	n/a	2,526.55	0.0
GAMCO ASSET MNGMT	025	SE	S	103,000	37.57	n/a	n/a	4,120.00	0.0
BROADARCH CAP/OLD NEWC	006	SI	B	500	128.83	n/a	n/a	20.00	0.0
NUDGE CAPITAL FUND LP	006	SLXP	B	1,500	101.34	n/a	n/a	45.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	13.34	n/a	n/a	750.00	0.0
BROADARCH CAP/OLD NEWC	006	SPY	B	1,500	180.55	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIVERLOFT CAPITAL	044	SUNE	B	25,000	14.21	n/a	n/a	750.00	0.0
BRONSON POINT	036	S	B	75,000	7.94	n/a	n/a	2,250.00	0.0
KINGDON ASSET MGMT	041	TGT	C	10,000	57.22	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	TMO	B	5,100	119.89	n/a	n/a	204.00	0.0
SUFFOLK CAPITAL MGMT	040	UNH	S	93,550	69.77	n/a	n/a	3,742.00	0.0
GAMCO ASSET MNGMT	025	ZTS	B	8,500	29.27	n/a	n/a	340.00	0.0
TOTAL (Trade Date) :								57,848.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/10	SEVEN LOCKS CAPITAL (SEVEBTIG)	025	NRF	B	6,000	14.29	n/a	n/a	180.00 0.0
AO,CRT	02/10	SEVEN LOCKS CAPITAL (SEVEUBSPB)	025	NRF	B	6,000	14.29	n/a	n/a	180.00 3.0
AO,CXL	02/10	NEW VERNON/SF INVESTMENTS (MILANEWVE)	031	WNC	B	62,000	12.31	n/a	n/a	3100.00 0.0
AO,CRT	02/10	NEW VERNON/SF INVESTMENTS (MILANEWVE)	031	WNC	B	62,000	12.31	n/a	n/a	1860.00 3.0
TOTAL (AO, CXL, CRT) :										-1,240.00

TOTAL (Trade Date) :	57,848.40
TOTAL (AO, CXL, CRT) :	-1,240.00

TOTAL (RUN DATE) / NFS :	56,608.40
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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