



## Daily Compliance Activity Report

Trade Date: 12/03/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIMCO	084	AA	B	400,000	9.50	n/a	n/a	8,000.00	0.0
APEX CAPITAL MGMT.	033	AFSI	SS	28,700	40.47	n/a	n/a	1,148.00	0.0
ARDSLEY PARTNERS	280	ARCP	B	200,000	13.31	n/a	n/a	10,000.00	0.0
CHARTERBRIDGE CAPITAL	025	AWAY	SS	10,000	36.81	n/a	n/a	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	BMV	S	7,500	51.31	n/a	n/a	225.00	0.0
TYVOR CAPITAL LLC	031	BURL	S	3,410	29.13	n/a	n/a	102.30	0.0
MOORE CAPITAL	257	CAT	SS	25,000	83.73	n/a	11-Jul	750.00	0.0
KINGDON ASSET MGMT	041	COST	S	70,000	123.26	n/a	n/a	2,800.00	0.0
LEVIN CAPITAL STRATEGIES	041	C	SS	25,000	52.52	n/a	17-Jun	750.00	0.0
TUDOR INVESTORS	028	DAL	B	40,000	28.54	n/a	18-Jun	1,200.00	0.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>DD</b>	<b>B</b>	<b>1,000</b>	<b>60.92</b>	<b>n/a</b>	<b>n/a</b>	<b>40.00</b>	<b>0.0</b>
MOORE CAPITAL	257	DE	SS	25,000	83.17	n/a	11-Jul	750.00	0.0
FARALLON CAP MGMT	040	DIS	B	10,001	69.44	n/a	n/a	400.04	0.0
PARKWEST	084	DLTR	SS	62,500	55.25	n/a	4-Jun	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYVOR CAPITAL LLC	031	FIVE	B	2,361	50.48	n/a	13-Jun	70.83	0.0
CHART WELL ADV	028	FNSR	S	142,200	19.77	n/a	n/a	5,688.00	0.0
BRONSON POINT	036	F	C	146,600	16.86	n/a	19-Jun	4,398.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	16.56	n/a	19-Jun	750.00	0.0
MOORE CAPITAL	257	F	SS	75,000	16.58	n/a	19-Jun	2,250.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	16.80	n/a	19-Jun	3,000.00	0.0
OZ MGMT	040	F	SS	250,000	16.85	n/a	19-Jun	7,500.00	0.0
PECONIC PARTNERS	036	F	C	300,000	17.06	n/a	19-Jun	15,000.00	0.0
COUGAR TRADING	044	GES	B	5,000	33.89	n/a	31-May	250.00	0.0
SCOPUS FUND	041	GIII	B	25,000	58.10	n/a	n/a	1,000.00	0.0
CHARTERBRIDGE CAPITAL	025	GME	SS	15,000	46.19	n/a	n/a	450.00	0.0
CAERUS GLOBAL	041	GM	B	20,000	37.75	n/a	19-Jun	800.00	0.0
DELTEC ASSET MGMT.	040	GM	B	20,000	38.88	n/a	19-Jun	1,000.00	0.0
OZ MGMT	040	GM	B	344,961	38.03	n/a	19-Jun	10,348.83	0.0
RIDGECREST INV MGMT LLC	028	GM	S	5,000	37.99	n/a	19-Jun	200.00	0.0
SCOPUS FUND	041	GM	B	50,000	37.99	n/a	19-Jun	2,000.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	38.77	n/a	19-Jun	300.00	0.0
INTERVAL PARTNERS	033	GPS	C	4,792	40.99	n/a	n/a	143.76	0.0
RIVERPARK CAPITAL	025	IMAX	B	23,674	28.72	n/a	n/a	1,183.70	0.0
APEX CAPITAL MGMT.	033	INTU	S	3,700	74.48	n/a	n/a	148.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	IWM	B	5,000	111.65	n/a	n/a	200.00	0.0
COUGAR TRADING	044	JBLU	S	25,000	8.54	n/a	18-Jun	1,000.00	0.0
TYVOR CAPITAL LLC	031	JWN	B	6,072	61.65	n/a	18-Jun	182.16	0.0
LOMBARDIA CAP MGMT	084	KND	S	68,317	17.68	n/a	n/a	2,732.68	0.0
APEX CAPITAL MGMT.	033	LL	SS	20,100	95.75	n/a	n/a	804.00	0.0
INTERVAL PARTNERS	033	MGM	S	40,000	19.32	n/a	13-Jun	1,200.00	0.0
JETSTREAM GLOBAL FUND LP	065	MOVE	S	31,300	14.81	n/a	n/a	1,565.00	0.0
LEVIN CAPITAL STRATEGIES	041	MRK	S	7,500	49.95	n/a	n/a	225.00	0.0
APEX CAPITAL MGMT.	033	MR	SS	30,900	41.34	n/a	n/a	1,236.00	0.0
SUFFOLK CAPITAL MGMT	040	MYL	S	8,000	43.73	n/a	17-Jun	320.00	0.0
APEX CAPITAL MGMT.	033	PRGO	B	12,000	155.51	n/a	18-Jun	480.00	0.0
LIONEYE CAPITAL	040	QEP	B	20,000	32.54	n/a	n/a	1,000.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	QLTY	S	10,000	12.52	n/a	n/a	30.00	0.0
SUFFOLK CAPITAL MGMT	040	RL	S	45,710	173.73	n/a	24-May	1,828.40	0.0
SURVEYOR CAPITAL	251	RL	B	19,413	174.00	n/a	24-May	776.52	0.0
DPB CAPITAL	029	SIRI	B	5,000	3.75	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	SJM	B	3,500	104.97	n/a	n/a	140.00	0.0
RIDGECREST INV MGMT LLC	028	SPY	B	5,000	179.62	n/a	n/a	200.00	0.0
RIDGECREST INV MGMT LLC	028	TAN	B	15,000	37.73	n/a	n/a	600.00	0.0
LOMBARDIA CAP MGMT	084	TER	B	237,475	16.90	n/a	n/a	9,499.00	0.0
FOUNDRY PARTNERS LLC	030	TJX	S	15,425	62.18	n/a	18-Jun	617.00	0.0
KINGDON ASSET MGMT	041	TJX	S	127,000	62.27	n/a	18-Jun	5,080.00	0.0
TYVOR CAPITAL LLC	031	ULTA	B	32,000	125.17	n/a	n/a	960.00	0.0
APEX CAPITAL MGMT.	033	ULTI	C	6,500	153.67	n/a	n/a	260.00	0.0
SUFFOLK CAPITAL MGMT	040	UNH	B	43,550	73.34	n/a	n/a	1,742.00	0.0
MADISON ST PARTNERS LLC	046	WES	S	25,000	60.67	n/a	n/a	1,250.00	0.0
TYVOR CAPITAL LLC	031	YUM	B	20,000	75.67	n/a	17-Jun	600.00	0.0
<b>TOTAL (Trade Date):</b>								<b>120,224.22</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/02	COUGAR TRADING (COUGPB MS)	044	CBK	B	10,000	6.15	n/a	n/a	500.00 0.0
AO,	12/02	COUGAR TRADING (COUGPB MS)	044	CBK	B	10,000	6.15	n/a	n/a	400.00 0.0
AO,	11/25	FORTRESS INVESTMENT (US) (FORTMS)	036	IR	B	9,205	55.12	n/a	19-Jun	368.20 4.0
AO,	11/26	FORTRESS INVESTMENT (US) (FORTMS)	036	IR	B	51,400	55.91	n/a	19-Jun	1028.00 2.0
AO,CXL	11/25	FORTRESS INVESTMENT (US) (FORTMS)	036	IRWI	B	9,205	0.00	n/a	n/a	368.20 4.0
AO,CXL	11/26	FORTRESS INVESTMENT (US) (FORTMS)	036	IRWI	B	51,400	0.00	n/a	n/a	1028.00 0.0
AO,CXL	12/02	COUGAR TRADING (COUGPB MS)	044	JBLU	S	25,000	8.74	n/a	18-Jun	1250.00 0.0
AO,	12/02	COUGAR TRADING (COUGPB MS)	044	JBLU	S	25,000	8.74	n/a	18-Jun	1000.00 0.0
AO,	12/02	SHEFFIELD ASSET MGMT (SHEFJPM)	031	RKT	B	36,000	94.77	n/a	17-Jun	1440.00 0.0
AO,CXL	12/02	STELLIAM INV ADV (STLLMSEXEC)	086	TOL	B	20,000	33.90	n/a	n/a	1000.00 0.0
AO,CRT	12/02	STELLIAM INV ADV (STLLMSEXEC)	086	TOL	B	20,000	33.90	n/a	n/a	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>890.00</b>
TOTAL (Trade Date):										120,224.22
TOTAL (AO, CXL, CRT):										890.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>121,114.22</b>



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