



## Daily Compliance Activity Report

Trade Date: 08/22/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	ANF	B	1,000	38.56	n/a	n/a	50.00	0.0
SCOPUS FUND	041	ANN	B	25,000	32.41	n/a	n/a	1,000.00	0.0
SIMMONS VENTURES	041	ARO	B	6,500	10.89	n/a	n/a	325.00	0.0
MAPLE ROW	006	AXL	B	2,500	20.42	n/a	19-Jun	125.00	0.0
SCOPUS FUND	041	AXL	B	50,000	20.27	n/a	19-Jun	2,000.00	0.0
TIDE POINT CAPITAL	028	AXL	B	27,299	20.09	n/a	19-Jun	818.97	0.0
CAPITAL WORLD	084	BMJ	S	185,000	41.39	n/a	n/a	6,475.00	0.0
SIMMONS VENTURES	041	BONT	B	4,750	13.29	n/a	18-Jun	237.50	0.0
EDGEWOOD	085	CMG	S	35,000	406.10	n/a	3-Jun	1,750.00	0.0
FRED ALGER MGMT	070	CSCO	S	64,100	24.03	n/a	26-Feb	2,307.60	0.0
BRONSON POINT	036	DG	S	25,000	55.40	n/a	4-Jun	750.00	0.0
SCOPUS FUND	041	DG	B	100,000	55.27	n/a	4-Jun	4,000.00	0.0
FRED ALGER MGMT	070	DHR	B	100,200	66.97	n/a	n/a	3,607.20	0.0
KEY ASSET MGMT/VICTORY	220	DKS	B	140,551	46.68	n/a	19-Jun	5,622.04	0.0
MAPLE LANE CAPITAL	040	DLTR	B	25,000	51.65	n/a	4-Jun	1,250.00	0.0
MARSICO CAPITAL	046	DLTR	S	64,178	52.89	n/a	4-Jun	2,567.12	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVERPARK CAPITAL	025	DLTR	S	22,138	53.18	n/a	4-Jun	1,106.90	0.0
S.A.C. CAPITAL	044	DLTR	S	25,000	51.65	n/a	4-Jun	750.00	0.0
TYVOR CAPITAL LLC	031	DLTR	B	25,000	51.38	n/a	4-Jun	750.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>DLTR</b>	<b>B</b>	<b>200</b>	<b>52.57</b>	<b>n/a</b>	<b>4-Jun</b>	<b>0.00</b>	<b>0.0</b>
KEY ASSET MGMT/VICTORY	220	DTV	B	100,551	58.09	n/a	n/a	4,022.04	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>DTV</b>	<b>S</b>	<b>255</b>	<b>58.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	DVR	S	3,723	2.05	n/a	n/a	74.46	0.0
GALT INVESTMENT	041	EXPR	B	30,000	19.74	n/a	n/a	1,200.00	0.0
NEUBERGER BERMAN	036	FFIN	B	3,000	60.24	n/a	n/a	120.00	0.0
JET CAPITAL/CHRIS	041	GEO	S	1,031	32.63	n/a	n/a	30.93	0.0
SCOPUS FUND	041	GES	SS	15,000	29.00	n/a	31-May	600.00	0.0
BALYASNY ASSET MGMT	044	GM	B	50,000	34.99	n/a	19-Jun	2,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	34.97	n/a	19-Jun	300.00	0.0
TIDE POINT CAPITAL	028	GM	B	20,000	34.93	n/a	19-Jun	600.00	0.0
OSKIE CAPITAL MGMT	224	GS	SS	14,000	158.65	n/a	6-May	700.00	0.0
WADDELL AND REED	047	GS	S	104,220	158.08	n/a	6-May	4,168.80	0.0
FRED ALGER MGMT	070	IBM	S	71,605	185.25	n/a	n/a	2,577.78	0.0
FRED ALGER MGMT	070	IR	B	46,320	61.39	n/a	19-Jun	1,667.52	0.0
JET CAPITAL/CHRIS	041	IYR	C	1,000	62.33	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	JBL	B	4,369	23.53	n/a	n/a	174.76	0.0
MAPLE ROW	006	KBH	B	7,500	17.06	n/a	n/a	375.00	0.0
STRONG/MARK GRONET	030	LCC	B	53,225	16.21	n/a	18-Jun	2,129.00	0.0
MAPLE ROW	006	LEN	B	7,500	33.53	n/a	n/a	375.00	0.0
MAPLE ROW	006	LRCX	B	7,500	48.29	n/a	n/a	375.00	0.0
SIGMA CAP BOBBY	044	MAR	B	50,000	40.66	n/a	13-Jun	1,500.00	0.0
MAPLE ROW	006	MAS	B	5,000	19.43	n/a	n/a	250.00	0.0
OSKIE CAPITAL MGMT	224	MS	SS	50,000	26.33	n/a	6-Jun	2,500.00	0.0
MAPLE ROW	006	MU	B	25,000	13.84	n/a	n/a	1,250.00	0.0
BALYASNY ASSET MGMT	044	M	B	25,000	45.15	n/a	18-Jun	1,250.00	0.0
BALYASNY ASSET MGMT	044	PCP	B	20,000	219.21	n/a	11-Jun	1,000.00	0.0
MAPLE ROW	006	PHM	B	7,500	16.37	n/a	n/a	375.00	0.0
BTG PACTUAL	040	RH	S	6,800	70.32	n/a	n/a	204.00	0.0
SIMMONS VENTURES	041	ROST	B	1,700	68.40	n/a	18-Jun	85.00	0.0
BNP PARIBAS SEC	040	SIRI	S	100,000	3.65	n/a	n/a	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARDSLEY PARTNERS	280	SRE	B	5,000	83.35	n/a	n/a	250.00	0.0
MAPLE ROW	006	TOL	B	12,500	32.16	n/a	n/a	625.00	0.0
LOMBARDIA CAP MGMT	084	TPC	S	13,970	19.41	n/a	n/a	558.80	0.0
FRED ALGER MGMT	070	TYC	B	44,950	34.20	n/a	26-Apr	1,618.20	0.0
<b>TOTAL (Trade Date) :</b>								<b>71,978.62</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/21	CORTEX CAPITAL (CORTXMLCO)	031	ANW	S	25,000	8.79	n/a	n/a	750.00 0.0
AO,CXL	08/21	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	ANW	S	25,000	8.79	n/a	n/a	1250.00 0.0
AO,CXL	08/21	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	15.13	n/a	19-Jun	2000.00 0.0
AO,CRT	08/21	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	15.13	n/a	19-Jun	1500.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,000.00</b>

TOTAL (Trade Date) :	71,978.62
TOTAL (AO, CXL, CRT) :	-1,000.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>70,978.62</b>
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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