



Daily Compliance Activity Report

Trade Date: 02/07/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	AAL	S	187,900	35.04	n/a	n/a	7,516.00	0.0
GAMCO ASSET MNGMT	025	AAPL	B	2,600	520.49	n/a	n/a	104.00	0.0
PRIMECAP MGMT	084	ABAX	B	1,793	36.96	n/a	n/a	71.72	0.0
GAMCO ASSET MNGMT	025	AFL	S	50,000	61.96	n/a	n/a	2,000.00	0.0
IVORY CAPITAL	084	ARCP	S	100,000	13.88	n/a	n/a	5,000.00	0.0
MELLON/BANK OF NEW YORK	046	BBY	B	22,300	24.28	n/a	n/a	892.00	0.0
GAMCO ASSET MNGMT	025	CAG	S	7,000	30.87	n/a	n/a	280.00	0.0
MATRIX ASSET ADV.	091	CAT	S	1,000	94.37	n/a	11-Jul	40.00	0.0
GAMCO ASSET MNGMT	025	CNX	B	17,300	36.44	n/a	n/a	692.00	0.0
GAMCO ASSET MNGMT	025	COH	S	1,700	46.80	n/a	30-May	68.00	0.0
SAC CHRIS C	041	COO	SS	10,000	122.74	n/a	n/a	300.00	0.0
J. GOLDMAN	028	DDS	SS	10,000	90.20	n/a	n/a	400.00	0.0
S.A.C. CAPITAL	044	DE	B	60,000	86.32	n/a	11-Jul	1,800.00	0.0
GAMCO ASSET MNGMT	025	DVN	B	28,800	60.46	n/a	13-Jun	1,152.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	EA	B	20,000	27.33	n/a	n/a	600.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	FB	B	5,000	64.35		n/a	n/a	200.00 0.0
OZ MGMT	040	F	SS	150,000	15.00	n/a	19-Jun	4,500.00	0.0
GAMCO ASSET MNGMT	025	GE	B	50,000	25.10	n/a	n/a	2,000.00	0.0
PCO CAPITAL MGMT.	084	GM	B	15,000	36.36	n/a	19-Jun	450.00	0.0
GAMCO ASSET MNGMT	025	GPC	S	31,000	81.13	n/a	n/a	1,240.00	0.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	50,000	42.04	n/a	n/a	1,500.00	0.0
CALAMOS ADVISORS LLC	041	GS	S	30,000	161.25	n/a	6-May	900.00	0.0
1798 CAP/LOMBARD ASSET	040	GT	S	50,000	23.28	n/a	n/a	2,500.00	0.0
GAMCO ASSET MNGMT	025	HAL	B	33,000	51.36	n/a	n/a	1,320.00	0.0
NEW VERNON/SF INVESTMENTS	031	HXL	B	18,000	41.89	n/a	22-Apr	540.00	0.0
CHARTERBRIDGE CAPITAL	025	KMX	B	25,000	47.30	n/a	n/a	750.00	0.0
BRONSON POINT	036	LPX	S	100,000	17.07	n/a	19-Jun	3,000.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	5,060	17.50	n/a	19-Jun	151.80	0.0
GAMCO ASSET MNGMT	025	LVS	S	20,000	76.15	n/a	13-Jun	800.00	0.0
PRIMECAP MGMT	084	MMC	S	5,000	44.88	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	280	MSFT	SS	50,000	36.14	n/a	n/a	2,500.00	0.0
BRONSON POINT	036	MS	B	50,000	29.84	n/a	6-Jun	1,500.00	0.0
GAMCO ASSET MNGMT	025	M	S	25,000	53.10	n/a	18-Jun	750.00	0.0
DELTEC ASSET MGMT.	040	ONNN	S	21,516	9.06	n/a	n/a	645.48	0.0
EPOCH INV MGMT	030	ORCL	B	65,000	36.78	n/a	n/a	1,950.00	0.0
CR INTRINSIC/CHRIS C	041	POT	SS	5,000	33.73	n/a	n/a	150.00	0.0
CAMBIAR CAP	046	RDEN	S	197,343	25.78	n/a	17-Jun	7,893.72	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086			RDEN	B	102,600	25.68	n/a	17-Jun	3,078.00 0.0
SAGE ASSET MGMT	025	SAP	B	5,600	76.61	n/a	n/a	280.00	0.0
WADDELL AND REED	047	SBUX	S	161,900	73.03	n/a	17-Jun	6,476.00	0.0
SANDLER O'NEILL ASSET	031	SNV	S	55,600	3.38	n/a	n/a	1,668.00	0.0
COLUMBIA PARTNERS	028	SPLK	B	28,947	78.20	n/a	n/a	1,157.88	0.0
NUVEEN - US BANCORP		030	SWAY	S	12,358	28.95	n/a	n/a	494.32 0.0
ARDSLEY PARTNERS/RIDGECREST	306	SWFT	B	10,000	21.58		n/a	n/a	400.00 0.0
CR INTRINSIC/CHRIS C	041	SWK	SS	5,000	78.68	n/a	n/a	150.00	0.0
HERRING CREEK CAPITAL	040	SWN	C	28,245	41.31	n/a	13-Jun	847.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	310	SWY	B	13,555	30.84	n/a	n/a	406.65	0.0
CR INTRINSIC/CHRIS C	041	TEX	SS	5,000	40.97	n/a	n/a	150.00	0.0
GAMCO ASSET MNGMT	025	TUP	S	800	76.32	n/a	n/a	32.00	0.0
GAMCO ASSET MNGMT	025	T	S	4,000	31.99	n/a	n/a	160.00	0.0
FRONTFOUR CAPITAL	046	WNC	B	10,000	12.18	n/a	n/a	300.00	0.0
LOCUST WOOD CAPITAL MGMT	044	WYN	B	31,750	69.86	n/a	n/a	1,270.00	0.0
BNP PARIBAS SEC	040	XRT	S	30,000	80.62	n/a	n/a	900.00	0.0
TOTAL (Trade Date) :								74,126.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/06	1798 CAP/LOMBARD ASSET (1798CSF)	040	EMR	SS	8,000	63.93	n/a	n/a	240.00 0.0
AO,	02/06	1798 CAP/LOMBARD ASSET (1798MS)	040	EMR	SS	8,000	63.93	n/a	n/a	400.00 0.0
AO,CXL	02/06	ROSEDALE CAPITAL (ROSEJPM)	046	GTAT	S	30,000	9.43	n/a	n/a	1200.00 0.0
AO,CRT	02/06	ROSEDALE CAPITAL (ROSEJPM)	046	GTAT	S	30,000	9.43	n/a	n/a	900.00 3.0
AO,CXL	02/05	FIRST NEW YORK (FNYSJPM)	086	SIRI	B	20,000	3.43	n/a	n/a	1000.00 0.0
AO,	02/05	FIRST NEW YORK (FNYSJPM)	086	SIRI	B	20,000	3.43	n/a	n/a	600.00 0.0
AO,	02/06	DW INVESTMENT MGMT. (DWINBHMf)	041	SNI	B	840	74.12	n/a	n/a	25.20 0.0
AO,CXL	02/06	DW INVESTMENT MGMT. (DWINBHCC)	041	SNI	B	5,600	74.12	n/a	n/a	168.00 0.0
AO,	02/06	DW INVESTMENT MGMT. (DWINBHCC)	041	SNI	B	4,760	74.12	n/a	n/a	142.80 0.0

TOTAL (AO, CXL, CRT) :**-540.00**

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74,126.92

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-540.00

TOTAL (RUN DATE) / NFS:**73,586.92**

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