



# Daily Compliance Activity Report

Trade Date: 12/16/2013

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAR CAPITAL	029	AAL	C	15,000	26.50	n/a	n/a	600.00	0.0
ASCEND PARTNERS	033	ABEV	S	250,000	7.07	n/a	n/a	5,000.00	0.0
MAPLE LANE CAPITAL	040	ACN	SS	50,000	74.67	n/a	n/a	2,000.00	0.0
TUDOR INVESTORS	028	ASH	B	5,000	93.06	n/a	n/a	150.00	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	19.70	n/a	19-Jun	400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BXS	SS	4,500	24.32	n/a	n/a	135.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CCK	S	10,000	42.96	n/a	n/a	300.00	0.0
RIDGECREST INV MGMT LLC	028	CGI	B	10,000	20.04	n/a	n/a	400.00	0.0
FARALLON CAP MGMT	040	CMCSA	S	50,000	49.51	n/a	n/a	1,500.00	0.0
MELLON/BANK OF NEW YORK	046	CMCSA	B	217,450	49.48	n/a	n/a	8,698.00	0.0
DELTEC ASSET MGMT.	040	DAL	B	20,000	27.98	n/a	18-Jun	1,000.00	0.0
TUDOR INVESTORS	028	DD	SS	5,000	60.84	n/a	n/a	150.00	0.0
BALYASNY ASSET MGMT	044	DG	B	50,000	60.58	n/a	4-Jun	2,500.00	0.0
TUDOR INVESTORS	028	DOV	SS	5,000	91.57	n/a	n/a	150.00	0.0
PAULSON & CO INC	041	DYN	C	25,000	20.83	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
YORK CAPITAL	036	ELN	S	250,000	17.72	n/a	n/a	7,500.00	0.0
TUDOR INVESTORS	028	EXPD	B	5,000	42.98	n/a	n/a	150.00	0.0
BRONSON POINT	036	FB	SS	25,000	53.94	n/a	n/a	750.00	0.0
KAYNE ANDERSON ADV	084	FCFS	S	18,000	60.62	n/a	n/a	720.00	0.0
BALYASNY ASSET MGMT	044	FINL	S	15,000	25.39	n/a	19-Jun	750.00	0.0
METROPOLITAN CAPITAL	044	FINL	B	5,800	25.41	n/a	19-Jun	290.00	0.0
TUDOR INVESTORS	028	FXI	B	20,000	38.58	n/a	n/a	600.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	16.78	n/a	19-Jun	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	200,000	16.89	n/a	19-Jun	6,000.00	0.0
TUDOR INVESTORS	028	GDP	B	5,000	16.09	n/a	n/a	150.00	0.0
KAYNE ANDERSON ADV	084	GGG	S	7,000	75.88	n/a	n/a	280.00	0.0
CR INTRINIC INVESTMENT	044	GT	B	25,000	22.67	n/a	n/a	750.00	0.0
BRONSON POINT	036	HAL	B	25,000	50.27	n/a	n/a	750.00	0.0
CHARTERBRIDGE CAPITAL	025	HLT	SS	85,000	22.15	n/a	n/a	2,550.00	0.0
BALYASNY ASSET MGMT	044	IFF	B	15,000	84.28	n/a	n/a	750.00	0.0
SAC CAPITAL/M GRONET	030	IGT	SS	125,000	17.26	n/a	13-Jun	3,750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ITT	S	10,000	42.82	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	ITW	B	5,000	79.98	n/a	n/a	150.00	0.0
MADISON ST PARTNERS LLC	046	IWM	S	15,000	111.42	n/a	n/a	750.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	94,675	8.71	n/a	18-Jun	2,840.25	0.0
ASCEND PARTNERS	033	KORS	B	25,000	82.13	n/a	30-May	750.00	0.0
BALYASNY ASSET MGMT	044	KSS	S	221,913	54.18	n/a	18-Jun	11,095.65	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	42.89	n/a	6-May	750.00	0.0
CHARTERBRIDGE CAPITAL	025	LF	C	50,000	8.15	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	MAS	B	15,000	21.42	n/a	n/a	450.00	0.0
KAYNE ANDERSON ADV	084	MELI	B	13,809	101.59	n/a	n/a	552.36	0.0
RIDGECREST INV MGMT LLC	028	MRVL	B	10,000	13.68	n/a	n/a	400.00	0.0
LOMAS CAPITAL	040	MTW	B	60,000	21.61	n/a	11-Jul	1,800.00	0.0
HOLLIS CAPITAL	033	NRF	B	5,000	11.93	n/a	n/a	250.00	0.0
CHARTERBRIDGE CAPITAL	025	OPEN	SS	8,000	76.51	n/a	n/a	240.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PBCT	B	8,000	14.65	n/a	18-Apr	240.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	PNRA	S	16,700	170.37	n/a	10-Jun	501.00	0.0
TUDOR INVESTORS	028	PNR	C	5,000	71.58	n/a	n/a	150.00	0.0
LOCUST WOOD CAPITAL MGMT	044	RESI	S	45,260	30.55	n/a	n/a	1,810.40	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	9,598	101.97	n/a	17-Jun	383.92	0.0
BALYASNY ASSET MGMT	044	RL	B	30,000	175.73	n/a	24-May	1,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SLM	B	12,500	25.84	n/a	14-Jun	375.00	0.0
TUDOR INVESTORS	028	STAY	B	5,000	23.96	n/a	n/a	150.00	0.0
SCOPUS FUND	041	TIF	B	25,000	90.81	n/a	n/a	1,000.00	0.0
GALT INVESTMENT	041	TJX	B	25,000	61.33	n/a	18-Jun	1,250.00	0.0
KAYNE ANDERSON ADV	084	WDFC	S	4,981	75.55	n/a	n/a	199.24	0.0
FRONTFOUR CAPITAL	046	WNC	B	20,000	11.79	n/a	n/a	600.00	0.0
NEWLAND CAPITAL MGT	025	WY	B	25,000	30.22	n/a	19-Jun	1,000.00	0.0
TUDOR INVESTORS	028	WY	S	5,000	30.55	n/a	19-Jun	150.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>81,610.82</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/13	EMPYREAN CAPITAL (EMPYMS)	084	AER	B	34,753	24.78	n/a	n/a	1042.59 0.0
AO,CXL	12/13	EMPYREAN CAPITAL (EMPYMS)	084	AER	B	15,247	24.78	n/a	n/a	457.41 0.0
AO,	12/13	EMPYREAN CAPITAL (EMPYMS)	084	AER	B	34,754	24.78	n/a	n/a	1042.62 0.0
AO,	12/13	EMPYREAN CAPITAL (EMPYMS)	084	AER	B	15,246	24.78	n/a	n/a	457.38 0.0
AO,	12/13	YORK CAPITAL (YORK516124)	036	ELN	S	975	17.84	n/a	n/a	29.25 0.0
AO,	12/13	YORK CAPITAL (YORK399745)	036	ELN	S	10,092	17.84	n/a	n/a	302.76 0.0
AO,	12/13	YORK CAPITAL (YORKUSBAN)	036	ELN	S	1,787	17.84	n/a	n/a	53.61 0.0
AO,	12/13	YORK CAPITAL (YORKDB)	036	ELN	S	1,995	17.84	n/a	n/a	59.85 0.0
AO,	12/13	YORK CAPITAL (YORKMS)	036	ELN	S	476,386	17.84	n/a	n/a	14291.58 0.0
AO,CXL	12/13	YORK CAPITAL (YORKBS)	036	ELN	S	500,000	17.84	n/a	n/a	5000.00 0.0
AO,	12/13	YORK CAPITAL (YORKBS)	036	ELN	S	8,765	17.84	n/a	n/a	262.95 0.0
AO,	12/11	YORK CAPITAL (YORK516124)	036	MYL	B	99	41.66	n/a	17-Jun	2.97 0.0
AO,CXL	12/11	YORK CAPITAL (YORK399745)	036	MYL	B	1,126	41.66	n/a	17-Jun	33.78 0.0
AO,	12/11	YORK CAPITAL (YORK399745)	036	MYL	B	1,027	41.66	n/a	17-Jun	33.78 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH300120)	040	RFMD	S	5,028	5.01	n/a	n/a	201.12 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH300110)	040	RFMD	S	66,731	5.01	n/a	n/a	2669.24 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH300100)	040	RFMD	S	14,750	5.01	n/a	n/a	590.00 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH368)	040	RFMD	S	329	5.01	n/a	n/a	13.16 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH476)	040	RFMD	S	8,179	5.01	n/a	n/a	327.16 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH3631)	040	RFMD	S	45,710	5.01	n/a	n/a	1828.40 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH332)	040	RFMD	S	2,560	5.01	n/a	n/a	102.40 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH310)	040	RFMD	S	16,740	5.01	n/a	n/a	669.60 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH464)	040	RFMD	S	13,610	5.01	n/a	n/a	544.40 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH300)	040	RFMD	S	31,910	5.01	n/a	n/a	1276.40 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	ROTHSCHILD ASSET (ROTH345)	040	RFMD	S	10,070	5.01	n/a	n/a	402.80 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH3721)	040	RFMD	S	6,160	5.01	n/a	n/a	246.40 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH369)	040	RFMD	S	10,170	5.01	n/a	n/a	406.80 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH322)	040	RFMD	S	8,150	5.01	n/a	n/a	326.00 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH302)	040	RFMD	S	38,760	5.01	n/a	n/a	1550.40 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH329)	040	RFMD	S	9,240	5.01	n/a	n/a	369.60 0.0
AO,	12/13	ROTHSCHILD ASSET (ROTH367)	040	RFMD	S	12,610	5.01	n/a	n/a	504.40 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>22,031.25</b>
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TOTAL (Trade Date) :	81,610.82
TOTAL (AO, CXL, CRT) :	22,031.25

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>103,642.07</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