



Daily Compliance Activity Report

Trade Date: 10/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	ABG	SS	19,000	46.85	n/a	19-Jun	570.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	S	69,465	37.98	n/a	n/a	2,083.95	0.0
Ñ Nicolas Pakler		BAC	S	1000	14.2400	n/a	17-Jun	0.00	0.0
OSKIE CAPITAL MGMT	224	BAC	S	100,000	14.17	n/a	17-Jun	5,000.00	0.0
CADIAN CAPITAL	041	BC	B	25,000	45.20	n/a	n/a	750.00	0.0
JSRG CAPITAL PARTNERS LP	084	CHRW	SS	15,000	60.23	n/a	n/a	450.00	0.0
CORTEX CAPITAL	031	CLX	SS	20,000	90.21	n/a	17-Jun	600.00	0.0
ARCHON CAPITAL	033	DDD	B	40,000	61.19	n/a	n/a	1,200.00	0.0
CAMBIAR CAP	046	FINL	S	29,820	25.65	n/a	19-Jun	1,192.80	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	17.46	n/a	19-Jun	750.00	0.0
OZ MGMT	040	F	SS	1,122,631	17.40	n/a	19-Jun	33,678.93	0.0
SCOPUS FUND	041	F	SS	50,000	17.35	n/a	19-Jun	2,000.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	37.11	n/a	19-Jun	1,000.00	0.0
FIRST NY SEC/CHRIS	041	GM	B	15,000	37.08	n/a	19-Jun	750.00	0.0
RIDGECREST INV MGMT LLC	028	GM	S	7,500	37.36	n/a	19-Jun	300.00	0.0
ROSEDALE CAPITAL	046	GM	S	10,000	37.25	n/a	19-Jun	400.00	0.0
SCOPUS FUND	041	GM	B	50,000	37.23	n/a	19-Jun	2,000.00	0.0
CR INTRINIC INVESTMENT	044	GT	S	25,000	21.04	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
LIONEYE CAPITAL	040	HES	B	20,000	80.79	n/a	n/a	1,000.00	0.0	
CADIAN CAPITAL	041	HOG	S	30,000	64.36	n/a	n/a	900.00	0.0	
ALLIANZ/NICOLAS APPLEGATE	084	INTC	B	50,000	24.50		n/a	n/a	1,750.00	0.0
MSF CAPITAL (ENTRUST)	040	IRBT	SS	14,854	34.46		n/a	n/a	742.70	0.0
TUDOR INVESTORS	028	IYR	B	5,000	66.94	n/a	n/a	150.00	0.0	
BTG PACTUAL	040	JBLU	B	25,000	7.20	n/a	18-Jun	750.00	0.0	
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	164,050	7.20	n/a	18-Jun	6,562.00	0.0
BADGE CAPITAL	030	KSS	B	800	57.08	n/a	18-Jun	28.00	0.0	
ACK ASSET	028	LAD	SS	15,000	62.35	n/a	n/a	450.00	0.0	
OSKIE CAPITAL MGMT	224	LEA	S	10,900	77.60	n/a	19-Jun	545.00	0.0	
KEYGROUP/KGLT	040	LNG	B	25,000	40.22	n/a	n/a	1,000.00	0.0	
ARCHON CAPITAL	033	LNKD	B	20,600	231.69	n/a	n/a	618.00	0.0	
CR INTRINIC INVESTMENT	044	LPX	B	50,000	17.28	n/a	19-Jun	1,500.00	0.0	
CASTLEROCK	040	LULU	SS	5,015	71.00	n/a	19-Jun	200.60	0.0	
MERRILL ASSET/BLACKROCK	085	MSCI	S	19,000	41.10	n/a	n/a	760.00	0.0	
SENATOR INVESTMENT GROUP	287	OC	B	20,000	37.29	n/a	n/a	600.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	OXY	B	10,000	95.53	n/a	n/a	300.00	0.0
EPOCH INV MGMT	030	OXY	B	222,590	96.47	n/a	n/a	6,677.70	0.0
CORNERSTONE	030	PVH	B	51,854	125.71	n/a	14-Jun	1,555.62	0.0
ASCEND PARTNERS	033	PWR	S	35,611	29.62	n/a	n/a	1,068.33	0.0
FRED ALGER MGMT	300	REGN	S	18,101	294.27	n/a	n/a	651.64	0.0
CASTLEROCK	040	SBUX	B	369	80.85	n/a	17-Jun	14.76	0.0
ROTHSCHILD ASSET	040	SNDK	B	12,885	69.48	n/a	n/a	515.40	0.0
SYMPHONY ASSET	033	SPY	SS	25,000	176.17	n/a	n/a	750.00	0.0
T. ROWE PRICE	243	SSD	B	8,230	35.58	n/a	n/a	329.20	0.0
S.A.C. CAPITAL	044	TFX	B	25,053	91.03	n/a	n/a	751.59	0.0
GLG PARTNERS	280	UAL	B	28,427	33.38	n/a	18-Jun	1,421.35	0.0
TUDOR INVESTORS	028	VAL	S	3,397	69.86	n/a	n/a	101.91	0.0
TYVOR CAPITAL LLC	031	WFM	SS	14,502	64.03	n/a	n/a	435.06	0.0
HAWKEYE CAPITAL	087	WNC	B	20,000	11.45	n/a	n/a	600.00	0.0
JSRG CAPITAL PARTNERS LP	084	WNC	SS	20,000	11.45	n/a	n/a	1,000.00	0.0
TUDOR INVESTORS	028	WNC	B	5,000	11.95	n/a	n/a	150.00	0.0
CHARTER OAK	033	XOP	B	10,000	72.35	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	XOP	B	25,000	70.68	n/a	n/a	1,000.00	0.0
ASCEND PARTNERS	033	X	S	47,932	24.65	n/a	n/a	1,437.96	0.0
MOORE CAPITAL	257	X	B	40,000	24.63	n/a	n/a	1,200.00	0.0
MERRILL ASSET/BLACKROCK	085	ZION	S	3,600	28.46	n/a	n/a	144.00	0.0
TOTAL (Trade Date) :								91,336.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/28	OZ MGMT (OZFFML)	040	BA	B	2,955	129.64	n/a	11-Jun	88.65 0.0
AO,	10/28	OZ MGMT (OZFFML)	040	BA	B	3,628	129.64	n/a	11-Jun	108.84 0.0
AO,CXL	10/28	OZ MGMT (OZFFGS)	040	BA	B	673	129.64	n/a	11-Jun	20.19 0.0

TOTAL (AO, CXL, CRT) :	-0.00
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TOTAL (Trade Date) :	91,336.50
TOTAL (AO, CXL, CRT) :	-0.00

TOTAL (RUN DATE) / NFS :	91,336.50
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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