



## Daily Compliance Activity Report

Trade Date: 10/25/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ALGN	S	120,470	56.15	n/a	n/a	3,614.10	0.0
KLEINHEINZ CAP PART	031	AN	S	73,400	49.05	n/a	19-Jun	3,670.00	0.0
NEUBERGER BERMAN	036	ATVI	B	25,000	17.50	n/a	n/a	1,000.00	0.0
BESSEMER INVESTMENT	085	AWK	B	8,270	42.24	n/a	n/a	330.80	0.0
MACELLUM CAPITAL	086	BEBE	S	35,000	5.89	n/a	n/a	1,050.00	0.0
GEORGE WEISS	278	BIDU	S	3,000	160.57	n/a	n/a	90.00	0.0
MSF CAPITAL (ENTRUST)	040	CFN	S	38,869	38.96	n/a	n/a	1,943.45	0.0
FORTRESS INVESTMENT (US)	036	CMI	B	14,700	135.02	n/a	n/a	294.00	0.0
PATTEN & PATTEN	025	CNI	S	400	110.05	n/a	n/a	20.00	0.0
MACELLUM CAPITAL	086	COH	SS	41,000	49.83	n/a	30-May	1,230.00	0.0
PATTEN & PATTEN	025	CP	B	340	143.21	n/a	n/a	17.00	0.0
MELLON/BANK OF NEW YORK	046	CRM	S	26,349	54.30	n/a	n/a	1,053.96	0.0
BESSEMER INVESTMENT	085	CVS	B	3,570	61.28	n/a	n/a	142.80	0.0
BESSEMER INVESTMENT	085	DG	B	5,080	59.51	n/a	4-Jun	203.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	ECL	B	10,000	104.93	n/a	18-Jan	500.00	0.0
ROSEDALE CAPITAL	046	EMC	S	25,000	23.80	n/a	26-Feb	1,000.00	0.0
GEORGE WEISS	278	ETN	S	2,500	70.87	n/a	12-Jun	75.00	0.0
PATTEN & PATTEN	025	EWA	S	1,000	27.04	n/a	n/a	50.00	0.0
TROUBH PART	070	FCX	B	10,000	37.45	n/a	n/a	500.00	0.0
CAERUS GLOBAL	041	F	B	31,619	17.60	n/a	19-Jun	1,264.76	0.0
TYVOR CAPITAL LLC	031	GPS	B	19,851	36.45	n/a	n/a	595.53	0.0
TYVOR CAPITAL LLC	031	GPS	SS	20,000	36.65	n/a	n/a	600.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	400	27.00	n/a	n/a	12.00	0.0
NEUBERGER BERMAN	036	HTZ	B	110,000	23.85	n/a	n/a	4,400.00	0.0
RIDGECREST INV MGMT LLC	028	KBR	S	12,500	32.92	n/a	n/a	500.00	0.0
MACELLUM CAPITAL	086	KMX	S	22,000	47.53	n/a	n/a	660.00	0.0
MACELLUM CAPITAL	086	KSS	SS	38,000	54.76	n/a	18-Jun	1,140.00	0.0
ACK ASSET	028	LAD	SS	30,000	63.87	n/a	n/a	900.00	0.0
SCOPUS FUND	041	LAD	B	10,000	64.00	n/a	n/a	400.00	0.0
IRIDIAN ASSET MGMT.	036	LDOS	B	27,872	47.26	n/a	n/a	1,393.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	LEA	B	4,000	77.59	n/a	19-Jun	160.00	0.0
GALT INVESTMENT	041	LF	S	5,650	9.20	n/a	n/a	169.50	0.0
COOPER CREEK PART	028	LPX	B	1,400	17.76	n/a	19-Jun	56.00	0.0
KENNEDY CAPITAL	046	LRN	B	19,000	18.76	n/a	n/a	760.00	0.0
BESSEMER INVESTMENT	085	LTD	B	3,510	61.56	n/a	n/a	140.40	0.0
DONALD SMITH	088	LUV	S	600,000	17.19	n/a	18-Jun	18,000.00	0.0
GEORGE WEISS	278	MDLZ	SS	10,000	33.28	n/a	n/a	300.00	0.0
HARVEST MGMT (JMP)	029	MEG	S	570	15.00	n/a	n/a	28.50	0.0
NEUBERGER BERMAN	036	MMM	B	10,000	123.53	n/a	n/a	400.00	0.0
PROSPECTOR PARTNERS LLC	036	MRH	S	10,000	27.31	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	MRO	B	3,730	35.33	n/a	n/a	149.20	0.0
BALYASNY ASSET MGMT	044	M	B	52,881	44.89	n/a	18-Jun	2,644.05	0.0
BESSEMER INVESTMENT	085	M	B	5,890	45.08	n/a	18-Jun	235.60	0.0
MACELLUM CAPITAL	086	M	S	23,000	44.85	n/a	18-Jun	690.00	0.0
GEORGE WEISS	278	NCLH	S	7,500	32.69	n/a	n/a	225.00	0.0
1798 CAP/LOMBARD ASSET	040	NOV	C	15,000	82.20	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NP	S	9,000	41.31	n/a	13-May	360.00	0.0
SANDLER O'NEILL ASSET	031	PBCT	B	25,000	14.55	n/a	18-Apr	1,250.00	0.0
PATTEN & PATTEN	025	PRGO	B	50	130.54	n/a	18-Jun	2.50	0.0
ASCEND PARTNERS	033	RBA	C	57,627	19.51	n/a	n/a	1,728.81	0.0
COUGAR TRADING	044	RYN	B	10,000	49.98	n/a	25-Jan	500.00	0.0
JSRG CAPITAL PARTNERS LP	084	RYN	B	12,500	49.54	n/a	25-Jan	1,250.00	0.0
ZWEIG FUNDS	006	RYN	S	60,000	48.06	n/a	25-Jan	3,000.00	0.0
PIMCO	084	SAVE	S	50,000	42.17	n/a	18-Jun	1,000.00	0.0
CASTLEROCK	040	SBUX	B	5,000	79.73	n/a	17-Jun	100.00	0.0
PATTEN & PATTEN	025	SIRO	B	400	69.63	n/a	n/a	20.00	0.0
COHE & STEERS	041	SKT	B	45,206	35.46	n/a	n/a	1,808.24	0.0
TROVE CAPITAL MANAGEMENT	237	SPLS	SS	20,000	15.89	n/a	n/a	600.00	0.0
T. ROWE PRICE	243	SSD	B	50,838	35.54	n/a	n/a	2,033.52	0.0
GEORGE WEISS	278	SYW	SS	10,000	32.81	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	TGT	B	3,730	63.81	n/a	23-May	149.20	0.0
PATTEN & PATTEN	025	TIF	S	100	79.22	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	TXN	SS	25,000	39.93	n/a	n/a	750.00	0.0
GEORGE WEISS	278	UAL	B	26,200	31.58	n/a	18-Jun	786.00	0.0
MAPLE ROW	006	UAL	B	5,000	30.69	n/a	18-Jun	150.00	0.0
PATTEN & PATTEN	025	VEU	B	500	50.54	n/a	n/a	25.00	0.0
EPOCH INV MGMT	030	WCN	S	3,339	44.30	n/a	n/a	100.17	0.0
DAVIDSON KEMPNER ADVISOR	281	WYNN	B	25,000	166.54	n/a	13-Jun	1,250.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	WY	S	20,000	31.41	n/a	19-Jun	600.00	0.0
MELLON/BANK OF NEW YORK	046	YHOO	S	42,042	32.70	n/a	n/a	1,681.68	0.0
WADDELL AND REED	047	ZMH	B	56,951	85.46	n/a	n/a	2,278.04	0.0
<b>TOTAL (Trade Date):</b>								<b>75,486.61</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/24	MERRILL ASSET/BLACKROCK (MERRBR_FLE)	085	V	S	6,600	202.72	n/a	11-Jun	264.00 0.0
AO,	10/24	MERRILL ASSET/BLACKROCK (MERRBR_FLE)	085	V	S	4,700	200.11	n/a	11-Jun	188.00 0.0
AO,CXL	10/24	MERRILL ASSET/BLACKROCK (MERR2900)	085	V	S	6,600	202.72	n/a	11-Jun	330.00 0.0
AO,CXL	10/24	MERRILL ASSET/BLACKROCK (MERR2900)	085	V	S	4,700	200.11	n/a	11-Jun	235.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-113.00</b>
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TOTAL (Trade Date) :	75,486.61
TOTAL (AO, CXL, CRT) :	-113.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>75,373.61</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