



Daily Compliance Activity Report

Trade Date: 10/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	AAPL	B	20,000	531.34	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	AGG	S	150	107.96	n/a	n/a	7.50	0.0
LEVIN CAPITAL STRATEGIES	041	AIG	B	10,000	51.81	n/a	n/a	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	ATML	S	24,058	6.72	n/a	n/a	721.74	0.0
KORTRIGHT CAPITAL PARTNERS	025	AWI	S	20,000	54.55	n/a	n/a	600.00	0.0
1798 CAP/LOMBARD ASSET	040	AXL	S	20,000	18.77	n/a	19-Jun	1,000.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	18.23	n/a	19-Jun	400.00	0.0
CASTLEROCK	040	CAKE	SS	15,847	44.76	n/a	25-Apr	633.88	0.0
CORTEX CAPITAL	031	CLX	B	10,000	87.94	n/a	17-Jun	300.00	0.0
HALCYON LLC	041	COLE	B	100,000	14.20	n/a	n/a	3,000.00	0.0
JET CAPITAL/CHRIS	041	CPWR	B	100,000	10.60	n/a	n/a	3,000.00	0.0
BNP PARIBAS SEC	040	CRI	SS	2,700	71.61	n/a	n/a	81.00	0.0
COLUMBUS CIRCLE	036	CSGP	S	569	171.82	n/a	n/a	22.76	0.0
KINGDON ASSET MGMT	041	DAL	B	50,000	26.35	n/a	18-Jun	2,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	DAL	S	10,000	26.26	n/a	18-Jun	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYVOR CAPITAL LLC	031	DSW	SS	10,000	83.15	n/a	11-Feb	300.00	0.0
TUDOR INVESTORS	028	EXPD	S	5,000	46.20	n/a	n/a	150.00	0.0
SANDLER CAPITAL	028	FBHS	S	125,000	42.65	n/a	n/a	5,000.00	0.0
TOCQUEVILLE	046	FCS	B	150,000	12.26	n/a	n/a	7,500.00	0.0
1798 CAP/LOMBARD ASSET	040	FLIR	SS	32,000	28.51	n/a	n/a	1,600.00	0.0
COLUMBUS CIRCLE	036	GPN	B	3,300	59.54	n/a	n/a	132.00	0.0
MACELLUM CAPITAL	086	GPS	B	28,000	37.00	n/a	n/a	840.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	1,100	27.03	n/a	n/a	33.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	HD	B	50,000	76.27	n/a	n/a	1,500.00	0.0
ROVER CAPITAL PARTNERS	040	HOT	SS	2,000	73.21	n/a	13-Jun	80.00	0.0
NEUBERGER BERMAN	036	HTZ	B	110,000	23.83	n/a	n/a	4,400.00	0.0
LATEEF MGMT	033	JNJ	S	1,000	92.42	n/a	n/a	100.00	0.0
SCOPUS FUND	041	LAD	B	18,000	64.44	n/a	n/a	720.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	400	38.60	n/a	6-May	20.00	0.0
IRIDIAN ASSET MGMT.	036	LDOS	B	34,498	47.48	n/a	n/a	1,724.90	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	LEA	SS	5,000	75.63	n/a	19-Jun	200.00	0.0
TUDOR INVESTORS	028	LEA	S	10,000	75.90	n/a	19-Jun	300.00	0.0
VERITION	028	LEA	SS	2,500	76.27	n/a	19-Jun	75.00	0.0
TUDOR INVESTORS	028	LII	S	10,000	78.56	n/a	n/a	300.00	0.0
IRIDIAN ASSET MGMT.	036	LYB	B	72,200	78.04	n/a	n/a	3,610.00	0.0
CHART WELL ADV	028	MD	S	41,425	105.59	n/a	n/a	1,657.00	0.0
BARON ASSET MGMT*	006	MLNX	B	3,000	36.34	n/a	n/a	120.00	0.0
MACELLUM CAPITAL	086	MNRO	B	23,000	46.70	n/a	n/a	690.00	0.0
LATEEF MGMT	033	M	B	500	44.63	n/a	18-Jun	60.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	7.16	n/a	n/a	800.00	0.0
BASSWOOD PARTNERS	267	NTRS	B	27,826	55.95	n/a	6-Jun	1,113.04	0.0
LEVIN CAPITAL STRATEGIES	041	ORCL	S	15,000	33.19	n/a	n/a	450.00	0.0
TUDOR INVESTORS	028	PCL	B	7,000	49.45	n/a	19-Jun	210.00	0.0
PATTEN & PATTEN	025	PRF	S	100	78.72	n/a	n/a	5.00	0.0
S.A.C. CAPITAL	044	PWR	B	25,000	29.28	n/a	n/a	750.00	0.0
ASCEND PARTNERS	033	RBA	C	102,435	19.39	n/a	n/a	3,073.05	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	RYN	B	15,000	56.23	n/a	25-Jan	750.00	0.0
COUGAR TRADING	044	RYN	S	25,000	57.14	n/a	25-Jan	1,250.00	0.0
JSRG CAPITAL PARTNERS LP	084	RYN	S	12,500	55.21	n/a	25-Jan	375.00	0.0
KADE CAPITAL LLC	028	RYN	B	5,000	56.55	n/a	25-Jan	250.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RYN	S	20,000	56.21	n/a	25-Jan	600.00	0.0
UBS OCONNOR	031	RYN	S	22,500	56.27	n/a	25-Jan	675.00	0.0
BROADARCH CAP/OLD NEWC	006	R	B	2,000	64.97	n/a	n/a	80.00	0.0
SOROS	036	SAIA	C	16,000	34.17	n/a	n/a	640.00	0.0
MOORE CAPITAL	257	SPY	B	150,000	175.36	n/a	n/a	4,500.00	0.0
SOROS	036	SPY	SS	20,555	175.04	n/a	n/a	616.65	0.0
MAIRS AND POWER INV	030	TGT	B	10,000	64.35	n/a	23-May	500.00	0.0
TUDOR INVESTORS	028	TKR	S	10,000	54.09	n/a	n/a	300.00	0.0
IRIDIAN ASSET MGMT.	036	TYC	S	199,240	36.24	n/a	26-Apr	9,962.00	0.0
KINGDON ASSET MGMT	041	UAL	S	50,000	31.33	n/a	18-Jun	2,000.00	0.0
TYVOR CAPITAL LLC	031	UA	B	5,060	78.81	n/a	19-Jun	151.80	0.0
CSL ASSOCIATES	006	VNTV	B	6,000	26.65	n/a	11-Jun	240.00	0.0
CSL ASSOCIATES	006	VNTV	S	6,000	26.70	n/a	11-Jun	240.00	0.0
MERRILL ASSET/BLACKROCK	085	V	S	11,300	202.72	n/a	11-Jun	565.00	0.0
HERRING CREEK CAPITAL	040	WFT	B	34,800	16.11	n/a	n/a	1,044.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	WY	S	206,446	30.29	n/a	19-Jun	8,257.84	0.0
TUDOR INVESTORS	028	WY	S	15,000	30.34	n/a	19-Jun	450.00	0.0
LEVIN CAPITAL STRATEGIES	041	XLP	SS	15,000	41.93	n/a	n/a	450.00	0.0
BMCM	087	XRX	B	131,250	9.68	n/a	n/a	6,562.50	0.0
WADDELL AND REED	047	ZMH	B	1,300	85.48	n/a	n/a	52.00	0.0
TOTAL (Trade Date):								90,991.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/23	DAVIDSON KEMPNER FRAN (DAVFCITI)	028	IYR	B	7,749	67.46	n/a	n/a	387.45	0.0
AO,	10/23	GLG PARTNERS (GLGPELSAL)	280	IYR	B	7,749	67.46	n/a	n/a	387.45	0.0
AO,CXL	10/23	SANDLER O'NEILL ASSET (SANOMSIL)	031	LAZ	S	3,274	38.11	n/a	6-May	163.70	0.0
AO,CRT	10/23	SANDLER O'NEILL ASSET (SANO)	031	LAZ	S	3,274	38.11	n/a	6-May	163.70	5.0
AO,CXL	10/21	CASTLEROCK (CASTJPM)	040	MCD	S	5,000	93.54	n/a	17-Jun	200.00	0.0
AO,CRT	10/21	CASTLEROCK (CASTJPM)	040	MCD	S	5,000	93.54	n/a	17-Jun	100.00	2.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	90,991.66
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS :	90,891.66
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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