



Daily Compliance Activity Report

Trade Date: 12/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIVERLOFT CAPITAL	044	AAMRQ	B	50,000	9.91	n/a	n/a	1,500.00	0.0
MAPLE ROW	006	ANR	S	4,000	6.79	n/a	n/a	120.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	ANW	B	16,961	10.50	n/a	n/a	508.83	0.0
BROADARCH CAP/OLD NEWC	006	AXL	B	2,000	19.94	n/a	19-Jun	80.00	0.0
CORTEX CAPITAL	031	CONN	B	14,000	66.40	n/a	n/a	420.00	0.0
SAC CHRIS C	041	CTRX	S	15,000	44.72	n/a	n/a	450.00	0.0
SHEFFIELD ASSET MGMT	031	DG	S	31,509	59.49	n/a	4-Jun	1,260.36	0.0
SUFFOLK CAPITAL MGMT	040	DIS	S	8,100	70.45	n/a	n/a	324.00	0.0
MAPLE ROW	006	DOW	S	5,000	38.43	n/a	n/a	150.00	0.0
BRIGADE CAPITAL MGMT	029	DRYS	S	250,000	3.59	n/a	n/a	7,500.00	0.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	17,100	49.85	n/a	13-Jun	684.00	0.0
MOORE CAPITAL	257	F	C	75,000	16.73	n/a	19-Jun	2,250.00	0.0
PHILADELPHIA FINANCIAL	033	GES	C	54,536	32.74	n/a	31-May	2,181.44	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	42,436	39.10	n/a	19-Jun	1,273.08	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	GM	SS	10,000	38.95	n/a	19-Jun	300.00	0.0
PCO CAPITAL MGMT.	084	GM	B	25,000	39.19	n/a	19-Jun	750.00	0.0
CASTLE ARK	031	GNC	S	111,670	58.56	n/a	n/a	4,466.80	0.0
CADIAN CAPITAL	041	GPC	C	6,000	80.46	n/a	n/a	180.00	0.0
MAPLE ROW	006	GPOR	S	6,100	59.54	n/a	n/a	183.00	0.0
INTERVAL PARTNERS	033	GPS	C	10,000	40.51	n/a	n/a	300.00	0.0
LOMAS CAPITAL	040	GS	S	20,400	166.94	n/a	6-May	612.00	0.0
SUFFOLK CAPITAL MGMT	040	GTLS	S	5,000	99.73	n/a	n/a	200.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	GTN	B	20,000	11.95	n/a	n/a	1,000.00	0.0
EVERGREEN	047	HSP	B	31,800	41.26	n/a	17-Jun	1,272.00	0.0
BLUE MOUNTAIN CAPITAL	087	HYG	S	110,000	92.71	n/a	n/a	5,500.00	0.0
MAPLE ROW	006	INTC	B	10,000	24.12	n/a	n/a	300.00	0.0
BOURGEON CAPITAL	025	JBLU	B	15,000	8.41	n/a	18-Jun	600.00	0.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	S	250,000	8.38	n/a	18-Jun	7,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JWN	SS	25,000	61.04	n/a	18-Jun	750.00	0.0
HOLLIS CAPITAL	033	LCC	B	5,000	21.74	n/a	18-Jun	250.00	0.0
TIDE POINT CAPITAL	028	LEA	S	10,000	81.35	n/a	19-Jun	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	086	LEN	B	17,500	34.24	n/a	n/a	875.00	0.0
MAPLE ROW	006	LYB	B	2,500	75.19	n/a	n/a	75.00	0.0
HOLLIS CAPITAL	033	NCR	B	2,000	32.05	n/a	n/a	100.00	0.0
1798 CAP/LOMBARD ASSET	040	ORIG	S	100,000	20.50	n/a	n/a	5,000.00	0.0
BRIGADE CAPITAL MGMT	029	ORIG	B	114,500	20.50	n/a	n/a	3,435.00	0.0
MAPLE ROW	006	REXX	S	5,000	19.05	n/a	n/a	150.00	0.0
KENNEDY CAPITAL	046	SAFM	B	47,455	65.97	n/a	n/a	1,898.20	0.0
PEAK INV/OAKMONT/CYPRESS	084	SLB	S	56,000	87.39	n/a	n/a	2,240.00	0.0
BTG PACTUAL	040	SONC	B	4,300	20.87	n/a	n/a	129.00	0.0
SENATOR INVESTMENT GROUP	287	STWD	S	250,000	27.51	n/a	n/a	7,500.00	0.0
WILLIAMS TRADING/BLUE MTN	087	STWD	B	100,000	27.51	n/a	n/a	3,000.00	0.0
STATE OF WISCONSIN	047	STZ	C	22,000	70.67	n/a	17-Jun	880.00	0.0
ZWEIG FUNDS	006	SUNE	S	50,000	13.63	n/a	n/a	2,500.00	0.0
LOMBARDIA CAP MGMT	084	TER	B	180,667	16.90	n/a	n/a	7,226.68	0.0
EMPYREAN CAPITAL	084	UAL	SS	100,000	36.89	n/a	18-Jun	3,000.00	0.0
ROSEDALE CAPITAL	046	WFC	B	20,000	43.47	n/a	6-Jun	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	XLE	C	55,000	86.09	n/a	n/a	1,650.00	0.0
LEVIN CAPITAL STRATEGIES	041	XLI	SS	33,574	49.55	n/a	n/a	1,007.22	0.0
EMPYREAN CAPITAL	084	XOP	C	50,000	67.40	n/a	n/a	1,500.00	0.0
TOTAL (Trade Date) :								86,331.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	BADGE CAPITAL (BADGJPM)	030	IP	S	900	46.09	n/a	17-Jun	45.00 0.0
AO,CRT	12/04	BADGE CAPITAL (BADGUSBANK)	030	IP	S	900	46.09	n/a	17-Jun	31.50 3.5

TOTAL (AO, CXL, CRT) :	-13.50
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TOTAL (Trade Date) :	86,331.61
TOTAL (AO, CXL, CRT) :	-13.50

TOTAL (RUN DATE) / NFS:	86,318.11
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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