



Daily Compliance Activity Report

Trade Date: 10/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	AEO	SS	147,000	13.93	n/a	2-Dec	4,410.00	0.0
SURVEYOR CAPITAL	251	AEO	B	62,550	13.95	n/a	2-Dec	1,251.00	0.0
PRIMECAP MGMT	084	AFFX	B	30,800	6.46	n/a	n/a	924.00	0.0
J. GOLDMAN	028	ALB	B	24,500	63.46	n/a	n/a	980.00	0.0
TYVOR CAPITAL LLC	031	ANF	B	15,000	35.69	n/a	n/a	450.00	0.0
PRIMECAP MGMT	084	CCL	B	6,000	32.49	n/a	n/a	240.00	0.0
BASSWOOD PARTNERS	267	CIT	S	49,013	49.27	n/a	13-Jun	1,960.52	0.0
KORTRIGHT CAPITAL PARTNERS	025	CLW	B	6,721	48.11	n/a	n/a	201.63	0.0
CORTEX CAPITAL	031	CLX	SS	10,000	81.57	n/a	17-Jun	300.00	0.0
MERRILL ASSET/BLACKROCK	085	COF	B	6,700	69.21	n/a	19-Jun	268.00	0.0
TROUBH PART	070	DTV	B	5,000	59.66	n/a	n/a	250.00	0.0
S.A.C. CAPITAL	044	ENDP	B	15,000	46.66	n/a	17-Jun	450.00	0.0
TROUBH PART	070	FB	SS	10,000	50.10	n/a	n/a	500.00	0.0
TYVOR CAPITAL LLC	031	FIVE	S	10,000	46.17	n/a	13-Jun	300.00	0.0
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.55	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	17.09	n/a	19-Jun	750.00	0.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	24.24	n/a	n/a	1,250.00	0.0
COBALT	041	GM	S	320,000	35.45	n/a	19-Jun	12,800.00	0.0
GABELLI FUNDS	025	GM	B	26,800	35.68	n/a	19-Jun	804.00	0.0
TIDE POINT CAPITAL	028	GM	B	20,000	35.73	n/a	19-Jun	600.00	0.0
LISTED ERR	099	GM	B	6,445	35.53	n/a	19-Jun	0.00	0.0
LISTED ERR	099	GM	S	6,445	35.55	n/a	19-Jun	0.00	0.0
CR INTRINIC INVESTMENT	044	GPS	SS	20,000	40.33	n/a	n/a	600.00	0.0
SANDLER CAPITAL	028	GPS	C	165,500	40.48	n/a	n/a	8,275.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	1,101	26.98	n/a	n/a	33.03	0.0
PAULSON & CO INC	041	LEAP	S	80,000	15.85	n/a	n/a	2,400.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	70,000	18.01	n/a	19-Jun	3,500.00	0.0
SENATOR INVESTMENT GROUP	287	MSFT	B	200,000	33.61	n/a	n/a	6,000.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	SS	5,000	38.03	n/a	18-Jun	200.00	0.0
BALYASNY ASSET MGMT	044	M	B	20,000	43.90	n/a	18-Jun	1,000.00	0.0
CR INTRINIC INVESTMENT	044	M	B	10,000	43.91	n/a	18-Jun	300.00	0.0
PRIMECAP MGMT	084	NKTR	B	22,000	10.29	n/a	n/a	880.00	0.0
COHE & STEERS	041	PLD	B	97,755	38.82	n/a	n/a	3,910.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	POT	B	750	32.72	n/a	n/a	75.00	0.0
KLEINHEINZ CAP PART	031	PTEN	B	75,000	22.33	n/a	n/a	3,750.00	0.0
Õ Jack Chernus		SAVE	B	1000	34.8000	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		SAVE	B	300	34.8000	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		SAVE	B	400	34.8000	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		SAVE	B	400	34.8000	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		SAVE	B	500	34.6000	n/a	18-Jun	0.00	0.0
ARDSLEY PARTNERS	280	SLXP	B	20,000	72.56	n/a	17-Jun	1,000.00	0.0
TUDOR INVESTORS	028	ST	S	15,000	37.82	n/a	n/a	450.00	0.0
BRONSON POINT	036	S	SS	200,000	6.26	n/a	n/a	6,000.00	0.0
SYMPHONY ASSET	033	WHR	B	7,293	140.99	n/a	n/a	218.79	0.0
KORTRIGHT CAPITAL PARTNERS	025	WY	B	20,000	28.85	n/a	19-Jun	600.00	0.0
S.A.C. CAPITAL	044	XLI	B	60,000	46.29	n/a	n/a	1,800.00	0.0
TOTAL (Trade Date) :								70,431.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/01	GEORGE WEISS (WEISMSPB)	278	JCI	SS	5,000	41.45	n/a	10-Jun	150.00 0.0
AO,	10/01	VERITION (VERTBAMLAC)	028	JCI	SS	5,000	41.45	n/a	10-Jun	150.00 0.0
AO,CXL	10/01	CAPITAL GROWTH MGMT. (CAPGWAYFAR)	241	KOG	B	50,000	12.48	n/a	n/a	2500.00 0.0
AO,CRT	10/01	CAPITAL GROWTH MGMT. (CAPGWAYFAR)	241	KOG	B	50,000	12.48	n/a	n/a	2000.00 0.0
AO,CXL	10/01	SHEFFIELD ASSET MGMT (SHEFJPM)	031	RKT	B	20,000	104.10	n/a	17-Jun	1000.00 0.0
AO,CRT	10/01	SHEFFIELD ASSET MGMT (SHEFJPM)	031	RKT	B	20,000	104.10	n/a	17-Jun	800.00 4.0
AO,CXL	10/01	TUDOR INVESTORS (TUDRJMPMB)	028	ST	S	11,000	38.38	n/a	n/a	330.00 0.0
AO,	10/01	TUDOR INVESTORS (TUDRJMPMB)	028	ST	S	5,000	38.42	n/a	n/a	150.00 0.0
AO,	10/01	TUDOR INVESTORS (TUDRJMPMB)	028	ST	S	6,000	38.34	n/a	n/a	180.00 0.0

TOTAL (AO, CXL, CRT) :	-700.00
-------------------------------	----------------

TOTAL (Trade Date):	70,431.17
TOTAL (AO, CXL, CRT):	-700.00

TOTAL (RUN DATE) / NFS:	69,731.17
--------------------------------	------------------

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