



Daily Compliance Activity Report

Trade Date: 09/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	BBRY	C	100,000	8.59	n/a	n/a	3,000.00	0.0
ASCEND PARTNERS	033	BEAV	B	10,000	72.23	n/a	11-Jun	300.00	0.0
J. GOLDMAN	028	BIG	S	38,228	37.74	n/a	n/a	1,529.12	0.0
IMPALA ASSET MMT	040	CCL	B	150,000	34.53	n/a	n/a	6,000.00	0.0
FINDLAY PARK PART	085	CHD	S	48,000	62.23	n/a	17-Jun	4,480.83	0.0
WOODWAY FINANCIAL	031	CHD	B	53,100	62.21	n/a	17-Jun	2,655.00	0.0
ALLIANZ/NICOLAS APPLGATE	084	CMCSA	B	55,500	44.20		n/a	n/a	1,942.50 0.0
TUDOR INVESTORS	028	CMI	SS	5,000	134.72	n/a	n/a	150.00	0.0
WAGONHOUND/NICOLAS	033	CMI	B	5,532	133.31	n/a	n/a	221.28	0.0
ROVER CAPITAL PARTNERS	040	CPB	B	2,400	41.54	n/a	n/a	96.00	0.0
J. GOLDMAN	028	ERJ	B	12,500	32.81	n/a	n/a	500.00	0.0
LOMAS CAPITAL	040	FITB	B	60,000	18.13	n/a	n/a	1,800.00	0.0
CAERUS GLOBAL	041	F	B	10,000	17.33	n/a	19-Jun	400.00	0.0
CAERUS GLOBAL	041	GM	S	5,000	37.68	n/a	19-Jun	200.00	0.0
OZ MGMT	040	GM	S	48,109	37.51	n/a	19-Jun	1,443.27	0.0
NOKOMIS PARTNERS	031	HCOM	S	7,848	27.14	n/a	n/a	235.44	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	IPI	S	50,000	16.28	n/a	n/a	2,000.00	0.0
TUDOR INVESTORS	028	IR	S	5,000	66.17	n/a	19-Jun	150.00	0.0
TUDOR INVESTORS	028	ITW	B	10,000	78.54	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	ITW	SS	5,000	78.09	n/a	n/a	150.00	0.0
ARDSLEY PARTNERS	280	IWM	SS	20,000	106.63	n/a	n/a	1,000.00	0.0
FIRST NY SEC/CHRIS	041	JBLU	S	20,000	6.86	n/a	18-Jun	1,000.00	0.0
LOMAS CAPITAL	040	JPM	B	20,200	50.98	n/a	17-Jun	606.00	0.0
Õ Doug Rogers		LGND	B	8	43.7990	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	8	43.7990	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	9	43.8090	n/a	n/a	0.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	S	35,000	17.60	n/a	19-Jun	1,050.00	0.0
STELLIAM INV ADV	086	LPX	B	35,000	17.60	n/a	19-Jun	1,400.00	0.0
TALON ASSET MGMT.	006	LVS	B	3,000	65.85	n/a	13-Jun	150.00	0.0
MERRILL ASSET/BLACKROCK	085	MA	S	1,000	690.97	n/a	13-Jun	40.00	0.0
IMPALA ASSET MMT	040	M	B	160,000	43.87	n/a	18-Jun	8,000.00	0.0
CORNERSTONE	030	NKE	S	114,408	69.53	n/a	19-Jun	3,432.24	0.0
ROARING BLUE LION MGMT	031	PLCE	S	7,600	57.11	n/a	24-May	304.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	PWR	S	10,000	27.76	n/a	n/a	300.00	0.0
INTERVAL PARTNERS	033	RCL	B	25,000	38.05	n/a	n/a	750.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	SEE	B	10,000	27.50	n/a	2-Jun	300.00	0.0
TALON ASSET MGMT.	006	SLB	B	2,500	87.58	n/a	n/a	125.00	0.0
TUDOR INVESTORS	028	ST	S	10,000	38.53	n/a	n/a	300.00	0.0
BTIG/MONT PELERIN	084	SWHC	SS	30,200	11.60	n/a	n/a	1,208.00	0.0
TUDOR INVESTORS	028	SWK	B	5,000	90.05	n/a	n/a	150.00	0.0
PROSPECTOR PARTNERS LLC	036	TLM	B	10,000	10.94	n/a	n/a	400.00	0.0
IMPALA ASSET MMT	040	UFI	S	32,700	23.61	n/a	n/a	1,308.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	28,203	23.94	n/a	n/a	846.09	0.0
BTIG/MONT PELERIN	084	WNC	S	43,000	11.61	n/a	n/a	1,720.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	63,825	11.59	n/a	n/a	1,914.75	0.0
TUDOR INVESTORS	028	XHB	SS	10,000	31.17	n/a	n/a	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	82.32	n/a	n/a	450.00	0.0
ROVER CAPITAL PARTNERS	040	YUM	SS	4,500	72.33	n/a	17-Jun	180.00	0.0

TOTAL (Trade Date):

54,787.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/23	NEWLAND CAPITAL MGT (NEWLGS)	025	BLDR	B	20,000	5.93	n/a	n/a	800.00 0.0
AO,CRT	09/23	NEWLAND CAPITAL MGT (NEWLGS)	025	BLDR	B	20,000	5.93	n/a	n/a	600.00 3.0

TOTAL (AO, CXL, CRT) :	-200.00
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TOTAL (Trade Date) :	54,787.52
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS:	54,587.52
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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