



## Daily Compliance Activity Report

Trade Date: 01/03/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	BBRY	B	28,000	7.62	n/a	n/a	840.00	0.0
KAM ADVISORS LLC	041	BEAV	S	14,500	85.94	n/a	11-Jun	435.00	0.0
STRONG/MARK GRONET	030	BRCD	S	30,000	8.83	n/a	n/a	900.00	0.0
DAVIDSON KEMPNER ADVISOR	281	CAB	C	10,000	65.92	n/a	n/a	500.00	0.0
KAM ADVISORS LLC	041	CAT	S	36,800	89.88	n/a	11-Jul	1,104.00	0.0
STRONG/MARK GRONET	030	CBB	S	40,000	3.62	n/a	n/a	1,200.00	0.0
KAM ADVISORS LLC	041	DD	C	13,500	63.94	n/a	n/a	405.00	0.0
CADIAN CAPITAL	041	EAT	S	45,000	45.63	n/a	13-May	1,350.00	0.0
KAM ADVISORS LLC	041	EMN	SS	18,100	80.37	n/a	n/a	543.00	0.0
KAM ADVISORS LLC	041	FDX	B	11,300	140.41	n/a	n/a	339.00	0.0
SCOPUS FUND	041	FIVE	B	30,000	43.38	n/a	13-Jun	1,200.00	0.0
SENATOR INVESTMENT GROUP	287	FTI	B	98,640	51.69	n/a	n/a	2,959.20	0.0
BRONSON POINT	036	F	C	125,000	15.48	n/a	19-Jun	3,750.00	0.0
OZ MGMT	040	F	C	121,399	15.51	n/a	19-Jun	1,213.99	0.0
PECONIC PARTNERS	036	F	SS	500,000	15.39	n/a	19-Jun	25,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORTEX CAPITAL	031	GES	B	25,000	31.18	n/a	31-May	750.00	0.0
OZ MGMT	040	GM	B	150,000	39.70	n/a	19-Jun	4,500.00	0.0
TIDE POINT CAPITAL	028	GM	B	35,000	39.31	n/a	19-Jun	1,050.00	0.0
COLUMBUS CIRCLE	036	GPN	B	823	66.30	n/a	n/a	32.92	0.0
CADIAN CAPITAL	041	MCD	SS	90,000	96.72	n/a	17-Jun	2,700.00	0.0
KAM ADVISORS LLC	041	MHK	B	8,900	149.72	n/a	n/a	267.00	0.0
BADGE CAPITAL	030	MUA	B	2,000	11.58	n/a	n/a	70.00	0.0
KAM ADVISORS LLC	041	PCP	B	4,800	268.15	n/a	11-Jun	144.00	0.0
CADIAN CAPITAL	041	PETM	SS	29,000	72.11	n/a	n/a	870.00	0.0
DAVIDSON KEMPNER ADVISOR	281	PETM	SS	12,500	71.91	n/a	n/a	625.00	0.0
DAVIDSON KEMPNER ADVISOR	281	RAD	SS	250,000	5.43	n/a	n/a	5,000.00	0.0
DONALD SMITH	088	RCL	S	28,400	47.28	n/a	n/a	852.00	0.0
INTERVAL PARTNERS	033	SBH	B	15,000	30.67	n/a	n/a	450.00	0.0
CADIAN CAPITAL	041	SBUX	SS	13,000	77.28	n/a	17-Jun	390.00	0.0
CORTEX CAPITAL	031	SFM	SS	20,000	36.92	n/a	n/a	600.00	0.0
PRIMECAP MGMT	084	SGEN	B	3,000	39.50	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	SONC	B	21,235	19.72	n/a	n/a	849.40	0.0
COLUMBUS CIRCLE	036	TSRO	S	2,385	25.98	n/a	n/a	95.40	0.0
HOLLIS CAPITAL	033	WLL	S	7,000	58.71	n/a	n/a	350.00	0.0
FRONTFOUR CAPITAL	046	WNC	B	50,000	12.36	n/a	n/a	1,500.00	0.0
TYVOR CAPITAL LLC	031	ZUMZ	B	3,790	25.93	n/a	n/a	113.70	0.0
<b>TOTAL (Trade Date):</b>								<b>63,068.61</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									63,068.61
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									63,068.61
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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