



Daily Compliance Activity Report

Trade Date: 01/30/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AA	SS	15,000	11.92	n/a	n/a	450.00	0.0
DSM CAPITAL PARTNERS	085	ABT	B	26,720	36.26	n/a	n/a	1,336.00	0.0
SANDLER O'NEILL ASSET	031	AIG	S	10,000	48.98	n/a	n/a	500.00	0.0
EDGEWOOD	085	AMT	B	127,201	81.16	n/a	n/a	6,360.05	0.0
KENNEDY CAPITAL	046	ARO	S	254,159	7.01	n/a	n/a	7,624.77	0.0
WAGONHOUND/NICOLAS	033	BIDU	S	2,791	159.87	n/a	n/a	111.64	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BLL	B	20,000	51.15	n/a	n/a	600.00	0.0
TUDOR INVESTORS	028	CAT	B	15,000	91.35	n/a	11-Jul	450.00	0.0
BOOTH PARK CAPITAL	041	CBL	S	5,000	16.90	n/a	n/a	150.00	0.0
FRED ALGER MGMT	300	CVLT	B	125	70.92	n/a	n/a	4.50	0.0
SANDLER O'NEILL ASSET	031	C	S	25,000	48.46	n/a	17-Jun	1,250.00	0.0
TUDOR INVESTORS	028	DE	SS	5,000	85.56	n/a	11-Jul	150.00	0.0
SYMPHONY ASSET	033	EEM	SS	17,000	38.20	n/a	n/a	510.00	0.0
CORTEX CAPITAL	031	FOSL	B	20,000	115.33	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	C	18,000	15.42	n/a	19-Jun	540.00	0.0
TUDOR INVESTORS	028	F	B	10,000	15.20	n/a	19-Jun	300.00	0.0
DSM CAPITAL PARTNERS	085	GE	S	36,760	25.42	n/a	n/a	1,838.00	0.0
AH LISANTI	006	GIII	B	6,640	71.35	n/a	n/a	332.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	36.90	n/a	19-Jun	300.00	0.0
ASCEND PARTNERS	033	HBI	B	28,179	72.09	n/a	3-May	845.37	0.0
OMEGA ADVISORS	041	HRG	B	325,000	11.81	n/a	n/a	13,000.00	0.0
PROVIDENCE EQUITY CAPITAL	040	HRG	S	484,600	11.78	n/a	n/a	14,538.00	0.0
MSF CAPITAL(ENTRUST)	040	LBTYK	B	6,672	78.00	n/a	n/a	333.60	0.0
TIDE POINT CAPITAL	028	LEA	S	40,000	76.54	n/a	19-Jun	1,200.00	0.0
SANDLER O'NEILL ASSET	031	MET	S	10,000	49.85	n/a	n/a	500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RLGY	S	50,000	45.31	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	RTN	SS	2,000	88.74	n/a	11-Mar	60.00	0.0
BOOTH PARK CAPITAL	041	RWX	SS	3,500	39.89	n/a	n/a	105.00	0.0
LIONEYE CAPITAL	040	RYN	S	10,000	44.15	n/a	25-Jan	500.00	0.0
FIRST NEW YORK	086	SIRI	B	20,000	3.62	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FIRST NEW YORK	086	SONC	B	10,000	18.31	n/a	n/a	300.00	0.0	
ADAGE CAPITAL MGMT	310	SWY	B	150,000	31.16	n/a	n/a	4,500.00	0.0	
TUDOR INVESTORS	028	TKR	B	10,000	56.95	n/a	n/a	300.00	0.0	
DSM CAPITAL PARTNERS	085	TWX	B	15,395	63.77	n/a	n/a	769.75	0.0	
ROYCE TRADING	031	UFI	S	10,000	23.17	n/a	n/a	500.00	0.0	
TUDOR INVESTORS	028	UPS	SS	10,000	96.18	n/a	n/a	300.00	0.0	
TIDE POINT CAPITAL	028	VC	B	30,000	81.31	n/a	n/a	900.00	0.0	
WAGONHOUND/NICOLAS	033	VFC	B	12,431	59.60	n/a	12-Jun	497.24	0.0	
ROYCE TRADING	031	WAIR	B	5,000	21.62	n/a	n/a	250.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	WDAY	B	58,000	90.69	n/a	n/a	1,740.00	0.0
ROYCE TRADING	031	WD	B	7,500	14.20	n/a	n/a	375.00	0.0	
ROYCE TRADING	031	WG	B	900	8.55	n/a	n/a	45.00	0.0	
FRED ALGER MGMT	300	WYNN	B	13,695	201.94	n/a	13-Jun	493.02	0.0	
KORTRIGHT CAPITAL PARTNERS	025	WY	S	165,000	30.80	n/a	19-Jun	4,950.00	0.0	
LATEEF MGMT	033	WY	B	1,825	30.83	n/a	19-Jun	193.75	0.0	
KORTRIGHT CAPITAL PARTNERS	025	X	B	32,100	25.87	n/a	n/a	963.00	0.0	

TOTAL (Trade Date):

73,865.69

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/29	TWO OCEAN CAPITAL (TWOOMS)	084	ANN	SS	37,150	32.34	n/a	n/a	1114.50 0.0
AO,CXL	01/29	TWO OCEAN CAPITAL (TWOOGS)	084	ANN	SS	37,150	32.34	n/a	n/a	1114.50 0.0
AO,CXL	01/28	HALCYON LLC (HALCDBSI)	041	ARCP	B	4,714	14.01	n/a	n/a	2867.76 0.0
AO,	01/28	HALCYON LLC (HALCDBSI)	041	ARCP	B	4,714	14.01	n/a	n/a	141.42 0.0
AO,CXL	01/29	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	12,000	10.79	n/a	18-Jun	600.00 0.0
AO,	01/29	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	12,000	10.79	n/a	18-Jun	480.00 0.0
AO,CXL	01/29	LIONEYE CAPITAL (LIONCSPBAC)	040	CLF	B	85,000	20.63	n/a	n/a	4260.00 0.0
AO,CRT	01/29	LIONEYE CAPITAL (LIONCSPBAC)	040	CLF	B	85,000	20.63	n/a	n/a	4250.00 0.0
AO,	01/29	FIRST NY SEC/CHRIS (FNYCGS)	041	IP	B	10,000	46.46	n/a	17-Jun	500.00 0.0
AO,CXL	01/29	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IP	B	10,000	46.46	n/a	17-Jun	500.00 0.0
TOTAL (AO, CXL, CRT) :										-2,856.34
TOTAL (Trade Date):										73,865.69
TOTAL (AO, CXL, CRT):										-2,856.34
TOTAL (RUN DATE) / NFS:										71,009.35

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