



Daily Compliance Activity Report

Trade Date: 11/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHRIS C	041	ABT	B	40,000	38.10	n/a	n/a	1,200.00	0.0
WHITE PINE CAPITAL	030	ACI	B	4,100	4.08	n/a	n/a	164.00	0.0
PATTEN & PATTEN	025	AGG	S	90	107.49	n/a	n/a	4.50	0.0
WHITE PINE CAPITAL	030	ATML	B	2,400	7.52	n/a	n/a	120.00	0.0
SCOPUS FUND	041	AXL	B	10,000	19.53	n/a	19-Jun	400.00	0.0
TROUBH PART	070	AXL	B	50,000	19.53	n/a	19-Jun	2,500.00	0.0
ROTHSCHILD ASSET	040	BMV	S	18,951	52.37	n/a	n/a	758.04	0.0
ACK ASSET	028	BRP	B	19,104	21.33	n/a	n/a	573.12	0.0
SAC CHRIS C	041	BSX	B	75,000	11.78	n/a	n/a	2,250.00	0.0
BASSWOOD PARTNERS	267	CIT	S	36,540	49.61	n/a	13-Jun	1,461.60	0.0
WHITE PINE CAPITAL	030	CLDT	B	1,400	20.50	n/a	n/a	70.00	0.0
FRED ALGER MGMT	300	CLDX	B	31,770	26.55	n/a	n/a	1,143.72	0.0
PALESTRA	040	CMCSA	B	9,000	49.75	n/a	n/a	270.00	0.0
ROYCE TRADING	031	CROX	B	50,500	13.48	n/a	n/a	2,525.00	0.0
FORTRESS INVESTMENT (US)	036	DAL	S	125,220	29.03	n/a	18-Jun	5,008.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL	040	DD	SS	68,051	61.41	n/a	n/a	2,041.53	0.0
LOMAS CAPITAL	040	DRI	SS	12,500	53.37	n/a	17-Jun	375.00	0.0
TYVOR CAPITAL LLC	031	EXPR	S	20,000	24.71	n/a	n/a	600.00	0.0
PALESTRA	040	FOXA	B	13,500	33.24	n/a	n/a	405.00	0.0
FORTRESS INVESTMENT (US)	036	FXI	S	100,000	39.15	n/a	n/a	3,000.00	0.0
S.A.C. CAPITAL	044	GE	S	30,000	26.89	n/a	n/a	900.00	0.0
SEVEN LOCKS CAPITAL	025	HCA	S	61,190	45.33	n/a	n/a	1,835.70	0.0
TYVOR CAPITAL LLC	031	HD	S	55,000	80.64	n/a	n/a	1,650.00	0.0
BARON ASSET MGMT*	006	HOT	B	8,200	74.61	n/a	13-Jun	328.00	0.0
COLUMBUS CIRCLE	036	IACI	S	4,074	55.65	n/a	n/a	162.96	0.0
FORTRESS INVESTMENT (US)	036	IRWI	B	51,400	0.00	n/a	n/a	1,028.00	0.0
WHITE PINE CAPITAL	030	ISSI	B	2,100	11.73	n/a	n/a	105.00	0.0
KENNEDY CAPITAL	046	JOSB	S	10,200	56.53	n/a	n/a	408.00	0.0
TYVOR CAPITAL LLC	031	KR	B	9,120	42.08	n/a	n/a	273.60	0.0
TYVOR CAPITAL LLC	031	KR	SS	9,110	42.25	n/a	n/a	273.30	0.0
CASTLE ARK	031	LECO	S	25,080	70.85	n/a	n/a	1,003.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	LMNX	S	100	19.26	n/a	n/a	4.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	B	29,702	16.24	n/a	19-Jun	891.06	0.0
ROVER CAPITAL PARTNERS	040	MCD	SS	2,500	98.89	n/a	17-Jun	100.00	0.0
PENNANT CAP MGMT	250	MDP	B	65,000	53.11	n/a	n/a	1,950.00	0.0
ROVER CAPITAL PARTNERS	040	MMM	SS	2,500	132.06	n/a	n/a	100.00	0.0
WHITE PINE CAPITAL	030	NPTN	B	1,300	5.70	n/a	n/a	65.00	0.0
WAGONHOUND/NICOLAS	033	OIS	S	3,193	102.90	n/a	n/a	127.72	0.0
ROTHSCHILD ASSET	040	PEGA	S	8,136	50.37	n/a	n/a	325.44	0.0
CADIAN CAPITAL	041	PETM	SS	14,000	74.18	n/a	n/a	420.00	0.0
TYVOR CAPITAL LLC	031	PLCE	S	18,606	54.50	n/a	24-May	558.18	0.0
JSRG CAPITAL PARTNERS LP	084	QLTY	B	20,000	11.91	n/a	n/a	1,000.00	0.0
ROVER CAPITAL PARTNERS	040	QQQ	SS	2,500	84.32	n/a	n/a	100.00	0.0
SCOPUS FUND	041	RAD	S	50,000	5.74	n/a	n/a	2,000.00	0.0
TYVOR CAPITAL LLC	031	ROST	S	18,900	76.46	n/a	18-Jun	567.00	0.0
WHITE PINE CAPITAL	030	RTIX	B	5,400	3.00	n/a	n/a	162.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	SCHW	S	5,600	24.77	n/a	n/a	224.00	0.0
UNITED STATES PENSION	085	SLB	S	210,000	89.50	n/a	n/a	8,400.00	0.0
BTIG/MONT PELERIN	084	SNCR	S	887	32.00	n/a	n/a	35.48	0.0
WHITE PINE CAPITAL	030	SURG	B	11,900	4.10	n/a	n/a	476.00	0.0
BRONSON POINT	036	TIF	B	50,000	87.23	n/a	n/a	1,500.00	0.0
WAGONHOUND/NICOLAS	033	TIF	S	1,229	87.99	n/a	n/a	49.16	0.0
SAC CHRIS C	041	VAR	SS	8,592	75.79	n/a	n/a	257.76	0.0
PENNANT CAP MGMT	250	VPRT	B	28,106	57.34	n/a	n/a	843.18	0.0
PRIMECAP MGMT	084	WFC	B	15,000	44.33	n/a	6-Jun	600.00	0.0
ROVER CAPITAL PARTNERS	040	WMT	SS	3,500	80.38	n/a	16-May	140.00	0.0
TOTAL (Trade Date):								53,734.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/25	FORTRESS INVESTMENT (US) (FORTMS)	036		B	9,205	55.12	n/a	n/a	368.20	0.0
AO,CXL	11/21	PENNANT CAP MGMT (PENAJPMORG)	250	AMGN	S	40,000	112.31	n/a	n/a	800.00	0.0
AO,CRT	11/21	PENNANT CAP MGMT (PENAJPMORG)	250	AMGN	S	40,000	112.31	n/a	n/a	1200.00	3.0
AO,CXL	11/25	DC CAPITAL (DCCAGOLDMA)	044	ARO	S	25,000	10.41	n/a	n/a	1000.00	0.0
AO,	11/25	DC CAPITAL (DCCAGOLDMA)	044	ARO	S	25,000	10.41	n/a	n/a	750.00	0.0
AO,CXL	11/25	DC CAPITAL (DCCAGOLDMA)	044	CROX	S	40,000	13.37	n/a	n/a	1600.00	0.0
AO,	11/25	DC CAPITAL (DCCAGOLDMA)	044	CROX	S	40,000	13.37	n/a	n/a	1200.00	0.0
AO,CRT	11/25	FORTRESS INVESTMENT (US) (FORTMS)	036	IRWI	B	9,205	0.00	n/a	n/a	368.20	4.0

TOTAL (AO, CXL, CRT) :**-250.00**

TOTAL (Trade Date) :

53,734.05

TOTAL (AO, CXL, CRT) :

-250.00

TOTAL (RUN DATE) / NFS :**53,484.05**

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