



Daily Compliance Activity Report

Trade Date: 12/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ANF	SS	25,000	35.07	n/a	n/a	750.00	0.0
SCOPUS FUND	041	ANN	S	25,000	34.15	n/a	n/a	1,000.00	0.0
STATE TEACHERS RET SYS	047	ATVI	S	22,200	17.03	n/a	n/a	1,110.00	0.0
SCOPUS FUND	041	AXL	B	40,000	20.24	n/a	19-Jun	1,600.00	0.0
TROUBH PART	070	AXL	B	25,000	20.22	n/a	19-Jun	1,250.00	0.0
RBC CAPITAL MARKETS	040	BHI	B	20,000	53.55	n/a	n/a	800.00	0.0
S.A.C. CAPITAL	044	BIG	B	100,000	33.55	n/a	n/a	3,000.00	0.0
BMO / M&I FUNDS	047	BONT	S	13,200	17.72	n/a	18-Jun	528.00	0.0
SAC CHRIS C	041	BSX	S	50,000	11.80	n/a	n/a	1,500.00	0.0
STATE TEACHERS RET SYS	047	CBG	S	32,100	25.10	n/a	n/a	1,605.00	0.0
COUGAR TRADING	044	CBK	S	10,000	7.06	n/a	n/a	400.00	0.0
STATE TEACHERS RET SYS	047	COH	S	22,600	56.00	n/a	30-May	1,130.00	0.0
STATE TEACHERS RET SYS	047	CTRX	S	18,900	44.86	n/a	n/a	945.00	0.0
TUDOR INVESTORS	028	DD	B	5,000	60.70	n/a	n/a	150.00	0.0
ACK ASSET	028	DFRG	B	25,000	19.50	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	DGX	S	24,000	60.17	n/a	n/a	1,200.00	0.0
WHITE PINE CAPITAL	030	DXLG	B	34,800	6.19	n/a	n/a	1,740.00	0.0
EPOCH INV MGMT	030	ECL	S	114,698	104.33	n/a	18-Jan	3,440.94	0.0
NOKOMIS PARTNERS	031	EPM	S	20,403	12.30	n/a	n/a	612.09	0.0
STATE TEACHERS RET SYS	047	GLW	S	52,600	16.98	n/a	n/a	2,630.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	39.96	n/a	19-Jun	300.00	0.0
STATE TEACHERS RET SYS	047	GM	S	35,800	40.02	n/a	19-Jun	1,790.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	39.63	n/a	19-Jun	300.00	0.0
TIDE POINT CAPITAL	028	GPI	S	20,000	68.68	n/a	19-Jun	600.00	0.0
TIEDEMANN/TIG ADVISORS LLC006		GTN	S	10,000	12.58	n/a	n/a	500.00	0.0
CORTEX CAPITAL	031	GWW	B	6,000	257.73	n/a	11-Jun	180.00	0.0
ASCEND PARTNERS	033	HBI	B	24,929	69.09	n/a	3-May	747.87	0.0
STATE TEACHERS RET SYS	047	HIG	S	35,200	35.91	n/a	n/a	1,760.00	0.0
SYMPHONY ASSET	033	JCP	SS	96,510	8.26	n/a	18-Jun	2,895.30	0.0
CADIAN CAPITAL	041	JWN	SS	17,000	60.27	n/a	18-Jun	510.00	0.0
ACK ASSET	028	KNX	B	20,000	18.15	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	LINTA	S	27,100	27.69	n/a	n/a	1,355.00	0.0
INTERVAL PARTNERS	033	MGM	S	50,000	20.24	n/a	13-Jun	1,500.00	0.0
STATE TEACHERS RET SYS	047	MRK	S	66,100	49.21	n/a	n/a	3,305.00	0.0
STATE TEACHERS RET SYS	047	NEM	S	22,700	23.38	n/a	n/a	1,135.00	0.0
STATE TEACHERS RET SYS	047	NUAN	S	41,500	14.33	n/a	n/a	2,075.00	0.0
RBC CAPITAL MARKETS	040	OAS	B	20,000	45.02	n/a	n/a	800.00	0.0
COLUMBIA PARTNERS	028	ORCL	B	26,490	35.25	n/a	n/a	1,059.60	0.0
STATE TEACHERS RET SYS	047	PHM	S	33,200	18.32	n/a	n/a	1,660.00	0.0
FIRST NEW YORK	086	RAD	S	20,000	5.81	n/a	n/a	800.00	0.0
BARON ASSET MGMT*	006	RALY	B	70,000	19.32	n/a	n/a	2,100.00	0.0
PARKWEST	084	RM	S	10,000	32.94	n/a	n/a	400.00	0.0
ZWEIG FUNDS	006	SHPG	B	15,000	134.25	n/a	17-Jun	750.00	0.0
MFP INVESTORS	085	TEVA	B	50,000	39.91	n/a	17-Jun	2,500.00	0.0
TROUBH PART	070	TEVA	S	20,000	39.84	n/a	17-Jun	1,000.00	0.0
STATE TEACHERS RET SYS	047	TRMB	S	23,200	32.66	n/a	n/a	1,160.00	0.0
TUDOR INVESTORS	028	TSN	S	5,000	33.55	n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTERBRIDGE CAPITAL	025	UA	SS	45,000	81.96	n/a	19-Jun	1,350.00	0.0
STATE TEACHERS RET SYS	047	WFC	S	42,100	43.89	n/a	6-Jun	2,105.00	0.0
EMPYREAN CAPITAL	084	XLE	SS	75,000	86.69	n/a	n/a	2,250.00	0.0
EMPYREAN CAPITAL	084	XOP	SS	70,000	67.83	n/a	n/a	2,100.00	0.0
CADIAN CAPITAL	041	XRT	SS	14,000	86.62	n/a	n/a	420.00	0.0
TOTAL (Trade Date):								66,298.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/05	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	GTN	B	13,800	11.95	n/a	n/a	690.00 0.0
AO,CXL	12/05	TIEDEMANN/TIG ADVISORS LLC (TIEDGS)	006	GTN	B	13,800	11.95	n/a	n/a	690.00 0.0
AO,CRT	12/03	RIVERPARK CAPITAL (RIVPLONGS)	025	IMAX	B	17,890	28.72	n/a	n/a	894.50 0.0
AO,CXL	12/03	RIVERPARK CAPITAL (RIVPBBHLGF)	025	IMAX	B	17,890	28.72	n/a	n/a	894.50 0.0
AO,CXL	12/05	TIDE POINT CAPITAL (TIDEGS)	028	LEA	S	10,000	81.35	n/a	19-Jun	500.00 0.0
AO,	12/05	TIDE POINT CAPITAL (TIDEGS)	028	LEA	S	10,000	81.35	n/a	19-Jun	300.00 0.0
AO,CXL	12/05	STELLIAM INV ADV (STLLCSFB)	086	LEN	B	2,400	34.24	n/a	n/a	120.00 0.0
AO,CRT	12/05	STELLIAM INV ADV (STLLCSFB)	086	LEN	B	2,400	34.24	n/a	n/a	96.00 4.0
AO,CXL	12/05	STELLIAM INV ADV (STLLMSEXEC)	086	LEN	B	15,100	34.24	n/a	n/a	755.00 0.0
AO,CRT	12/05	STELLIAM INV ADV (STLLMSEXEC)	086	LEN	B	15,100	34.24	n/a	n/a	604.00 4.0
AO,CXL	12/05	WILLIAMS TRADING/BLUE MTN (WTBMGS)	087	STWD	B	100,000	27.51	n/a	n/a	3000.00 0.0
AO,	12/05	WILLIAMS TRADING/BLUE MTN (WTBMGS)	087	STWD	B	100,000	27.51	n/a	n/a	2000.00 0.0
TOTAL (AO, CXL, CRT) :										-1,375.00
TOTAL (Trade Date):										66,298.80
TOTAL (AO, CXL, CRT):										-1,375.00
TOTAL (RUN DATE) / NFS:										64,923.80

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