



Daily Compliance Activity Report

Trade Date: 12/31/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTFOUR CAPITAL	046	AAL	B	25,000	25.09	n/a	n/a	750.00	0.0
SCOPUS FUND	041	ANN	S	31,673	36.63	n/a	n/a	1,266.92	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.39	n/a	19-Jun	400.00	0.0
LAKEWOOD CAPITAL MGMT	085	CDW	B	15,000	23.35	n/a	n/a	450.00	0.0
SCOPUS FUND	041	CHTR	S	5,000	135.48	n/a	n/a	200.00	0.0
PROSPECTOR PARTNERS LLC	036	CNA	S	8,000	42.64	n/a	n/a	320.00	0.0
FRONTFOUR CAPITAL	046	DAN	SS	25,000	19.59	n/a	19-Jun	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ELGX	B	34,958	17.43	n/a	n/a	1,048.74 0.0
GAMCO ASSET MNGMT	025	GM	B	9,958	40.64	n/a	19-Jun	298.74	0.0
SCOPUS FUND	041	GM	S	75,000	40.76	n/a	19-Jun	3,000.00	0.0
FRED ALGER MGMT	300	ISIS	B	28,855	39.86	n/a	n/a	1,038.78	0.0
GALT INVESTMENT	041	LTM	S	6,000	46.95	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	PBYI	B	8,270	103.21	n/a	n/a	297.72	0.0
GALT INVESTMENT	041	PLCE	S	7,600	57.25	n/a	24-May	380.00	0.0
DONALD SMITH	088	RCL	S	40,000	47.45	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	SAH	B	15,000	24.46	n/a	n/a	450.00	0.0
ACK ASSET	028	SBUX	SS	27,500	78.13	n/a	17-Jun	825.00	0.0
HARVEST MGMT	029	SONC	B	10,000	20.25	n/a	n/a	400.00	0.0
GALT INVESTMENT	041	TJX	S	9,900	63.80	n/a	18-Jun	495.00	0.0
SCOPUS FUND	041	UFS	S	20,000	94.79	n/a	n/a	800.00	0.0
GALT INVESTMENT	041	VFC	B	9,500	62.30	n/a	12-Jun	475.00	0.0
LAKEWOOD CAPITAL MGMT	085	VXX	SS	25,000	42.68	n/a	n/a	750.00	0.0
SANDLER CAPITAL	028	WUBA	B	150,000	38.02	n/a	n/a	7,500.00	0.0
Õ Nilsa Vazquez		WWW	S	400	34.0328	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	WY	B	10,000	31.52	n/a	19-Jun	400.00	0.0
FRED ALGER MGMT	300	XRX	S	104,113	12.17	n/a	n/a	3,748.07	0.0
TOTAL (Trade Date) :								27,543.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									27,543.97
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									27,543.97

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