



Daily Compliance Activity Report

Trade Date: 02/03/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	AAL	SS	68,887	33.82	n/a	n/a	2,066.61	0.0
BALYASNY ASSET MGMT	044	AAP	B	10,000	110.59	n/a	n/a	500.00	0.0
SYMPHONY ASSET	033	ABG	SS	11,883	45.62	n/a	19-Jun	356.49	0.0
IVORY CAPITAL	084	ADT	B	60,200	28.98	n/a	n/a	3,010.00	0.0
LOCUST WOOD CAPITAL MGMT	044	A	B	10,575	57.59	n/a	n/a	423.00	0.0
PRIMECAP MGMT	084	BA	S	12,000	123.58	n/a	11-Jun	480.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	BIP	B	30,000	36.48	n/a	n/a	900.00	0.0
PRIMECAP MGMT	084	BMRN	B	5,000	67.76	n/a	n/a	200.00	0.0
GAMCO ASSET MNGMT	025	BONT	B	10,169	10.45	n/a	18-Jun	305.07	0.0
MOORE CAPITAL	257	CAR	SS	40,000	35.84	n/a	n/a	1,200.00	0.0
FORTRESS INVST (US)	036	CAT	B	33,500	92.54	n/a	11-Jul	1,340.00	0.0
EPOCH INV MGMT	030	CHKP	S	10,170	63.33	n/a	n/a	305.10	0.0
PRIMECAP MGMT	084	CME	B	8,000	73.20	n/a	28-Apr	320.00	0.0
SENATOR INVEST GROUP	287	CNP	S	415,000	23.05	n/a	n/a	12,450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMICI CAPITAL N/C	044	C	SS	100,000	47.35	n/a	17-Jun	4,000.00	0.0
BRANDWINE	028	C	B	45,400	46.40	n/a	17-Jun	1,816.00	0.0
PRIMECAP MGMT	084	DFS	B	5,000	52.87	n/a	19-Jun	200.00	0.0
FARALLON CAP MGMT	040	DG	B	100,000	55.47	n/a	4-Jun	4,000.00	0.0
INTERVAL PARTNERS	033	DKS	B	20,000	51.28	n/a	19-Jun	600.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DLPH	S	10,000	60.01	n/a	n/a	300.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	DRH	S	67,000	11.37	n/a	n/a	2,680.00	0.0
ROVER CAPITAL PARTNERS	040	DRI	B	2,000	48.32	n/a	17-Jun	80.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	FCH	S	22,000	7.88	n/a	n/a	880.00	0.0
LATEEF MGMT	033	FMER	B	500	19.56	n/a	n/a	50.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	28,000	14.77	n/a	19-Jun	840.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	50,000	14.80	n/a	19-Jun	1,500.00	0.0
OZ MGMT	040	F	C	254,020	14.59	n/a	19-Jun	7,620.60	0.0
PECONIC PARTNERS	036	F	SS	15,500	14.56	n/a	19-Jun	775.00	0.0
S.A.C. CAPITAL	044	GDX	S	25,000	23.39	n/a	n/a	750.00	0.0
CORTEX CAPITAL	031	GES	SS	20,000	26.95	n/a	31-May	600.00	0.0
SUFFOLK CAPITAL MGMT	040	GIII	S	1,200	69.05	n/a	n/a	48.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	GM	S	150,000	35.10	n/a	19-Jun	4,500.00	0.0
PECONIC PARTNERS	036	GM	B	2,100	35.55	n/a	19-Jun	105.00	0.0
PHILADELPHIA FINANCIAL	033	GM	SS	105,819	35.50	n/a	19-Jun	4,232.76	0.0
TROUBH PART	070	GM	B	15,000	35.31	n/a	19-Jun	750.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	GPOR	B	5,000	59.40		n/a	n/a	200.00 0.0
MOORE CAPITAL	257	GPS	B	28,000	37.45	n/a	n/a	840.00	0.0
LATEEF MGMT	033	HPQ	S	500	28.09	n/a	n/a	50.00	0.0
BRANDWINE	028	HP	S	45,600	86.11	n/a	n/a	1,824.00	0.0
PROVIDENCE EQUITY CAPITAL	040	HRG	S	84,100	11.90	n/a	n/a	2,523.00	0.0
PECONIC PARTNERS	036	JBLU	B	100,000	8.59	n/a	18-Jun	4,000.00	0.0
DC CAPITAL	044	JCP	B	250,000	5.65	n/a	18-Jun	6,250.00	0.0
LATEEF MGMT	033	JNJ	B	400	86.94	n/a	n/a	60.00	0.0
IVORY CAPITAL	084	KBH	B	93,278	18.70	n/a	n/a	4,663.90	0.0
KENBELLE LLC	028	KRE	SS	44,000	38.23	n/a	n/a	1,320.00	0.0
PECONIC PARTNERS	036	KSU	B	1,600	105.50	n/a	n/a	80.00	0.0
LATEEF MGMT	033	K	B	250	57.19	n/a	n/a	45.00	0.0
AMBER CAPITAL	085	LBTYA	SS	20,644	79.51	n/a	n/a	825.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	085	LBTYK	SS	15,144	78.77	n/a	n/a	605.76	0.0
TWIN CAPITAL	041	LIFE	B	50,000	76.06	n/a	n/a	1,500.00	0.0
MOORE CAPITAL	257	LL	S	9,375	87.04	n/a	n/a	281.25	0.0
IVORY CAPITAL	084	LNG	B	64,340	42.92	n/a	n/a	3,217.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	240,000	16.74	n/a	19-Jun	12,000.00	0.0
LOMAS CAPITAL	040	LPX	B	200,000	16.82	n/a	19-Jun	6,000.00	0.0
PAR CAPITAL	309	LUV	B	100,000	20.41	n/a	18-Jun	4,000.00	0.0
LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,290	173.98	n/a	n/a	211.60	0.0
IVORY CAPITAL	084	MDY	SS	6,500	231.73	n/a	n/a	65.00	0.0
LISTED ERR	099	MDY	B	5,391	231.93	n/a	n/a	0.00	0.0
LISTED ERR	099	MDY	SS	5,391	231.89	n/a	n/a	0.00	0.0
BRONSON POINT	036	MO	C	50,000	34.39	n/a	n/a	1,500.00	0.0
STRONG/MARK GRONET	030	MTRX	S	410	25.42	n/a	n/a	16.40	0.0
PRIMECAP MGMT	084	NEM	S	37,900	21.14	n/a	n/a	1,516.00	0.0
PRIMECAP MGMT	084	NKTR	B	5,000	13.30	n/a	n/a	200.00	0.0
KEY ASSET MGMT/VICTORY	220	NLSN	B	132,910	41.11	n/a	n/a	5,316.40	0.0
EPOCH INV MGMT	030	NOV	S	6,650	73.52	n/a	n/a	199.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW VERNON/SF INVESTMENTS	031	NQS	B	70,200	13.25	n/a	n/a	2,106.00	0.0
FORTRESS INVST (US)	036	NSC	B	28,000	89.62	n/a	n/a	1,120.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	OEF	C	5,000	78.00		n/a	n/a	200.00 0.0
ARDSLEY PARTNERS/RIDGECREST	306	OPEN	C	200	72.13		n/a	n/a	8.00 0.0
PRIMECAP MGMT	084	PKI	B	5,000	43.19	n/a	n/a	200.00	0.0
SUFFOLK CAPITAL MGMT	040	POWI	S	3,800	56.99	n/a	n/a	152.00	0.0
PRIMECAP MGMT	084	QGEN	B	30,000	21.95	n/a	n/a	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	100,000	103.64	n/a	17-Jun	5,000.00	0.0
MOORE CAPITAL	257	RL	B	10,000	153.99	n/a	24-May	300.00	0.0
BRONSON POINT	036	ROP	C	74,800	132.78	n/a	n/a	2,244.00	0.0
BRANDWINE	028	ROST	B	38,740	66.04	n/a	18-Jun	1,549.60	0.0
ARDSLEY PARTNERS/RIDGECREST	306	RWM	B	5,000	17.86		n/a	n/a	200.00 0.0
CORNERSTONE	030	SBUX	B	160,000	69.68	n/a	17-Jun	6,400.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	SHO	B	65,000	12.57	n/a	n/a	2,600.00	0.0
MOORE CAPITAL	257	SPY	C	21,000	174.19	n/a	n/a	630.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS/RIDGECREST	306	SWN	S	10,000	40.88		n/a 13-Jun	400.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	224,173	30.28	n/a	n/a	6,725.19	0.0
S.A.C. CAPITAL	044	TGT	SS	50,000	55.45	n/a	23-May	1,500.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	TIF	C	400	80.64		n/a n/a	16.00	0.0
SCOPUS FUND	041	TRW	S	36,709	70.86	n/a	n/a	1,468.36	0.0
SCOPUS FUND	041	TYC	S	1,545	39.67	n/a	26-Apr	61.80	0.0
SUFFOLK CAPITAL MGMT	040	UNH	S	43,560	71.56	n/a	n/a	1,742.40	0.0
SCOPUS FUND	041	URI	S	15,670	75.24	n/a	17-Apr	626.80	0.0
BRANDWINE	028	VAR	S	42,780	78.26	n/a	n/a	1,711.20	0.0
SCOPUS FUND	041	VC	S	6,892	78.89	n/a	n/a	275.68	0.0
PRIMECAP MGMT	084	WAT	B	5,000	107.28	n/a	n/a	200.00	0.0
SCOPUS FUND	041	WCC	S	200	80.73	n/a	n/a	8.00	0.0
MOORE CAPITAL	257	WLT	C	70,000	10.68	n/a	n/a	2,100.00	0.0
ROSEDALE CAPITAL	046	WY	S	10,000	29.98	n/a	19-Jun	400.00	0.0
MOORE CAPITAL	257	XLF	C	200,000	20.74	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	XLI	B	20,000	49.53	n/a	n/a	600.00	0.0
SCOPUS FUND	041	XLS	S	10,763	18.76	n/a	n/a	430.52	0.0
FRONTIER	309	XON	B	51,650	31.57	n/a	n/a	2,066.00	0.0
TOTAL (Trade Date) :							169,735.75		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/31	COLUMBUS CAP MGMT LLC (CBUSGSPB)	084	CSCO	SS	26,000	21.86	n/a	26-Feb	1040.00 0.0
AO,	01/31	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	CSCO	SS	26,000	21.86	n/a	26-Feb	1040.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	169,735.75
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	169,735.75
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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