



## Daily Compliance Activity Report

Trade Date: 11/21/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLENHILL CAPITAL	036	ADSK	B	75,446	42.74	n/a	n/a	3,772.30	0.0
PENNANT CAP MGMT	250	AMGN	S	40,000	112.31	n/a	n/a	800.00	0.0
PENNANT CAP MGMT	250	ANF	SS	38,000	35.00	n/a	n/a	1,140.00	0.0
ROTHSCHILD ASSET	040	AXLL	S	13,200	43.13	n/a	n/a	528.00	0.0
J. GOLDMAN	028	BJRI	S	12,500	28.65	n/a	n/a	500.00	0.0
PRIMECAP MGMT	084	CB	S	1,500	95.97	n/a	n/a	60.00	0.0
CLEARLINE CAPITAL LLC	006	CPRT	S	19,386	32.83	n/a	n/a	581.58	0.0
FORTRESS INVESTMENT (US)	036	DE	SS	10,200	83.90	n/a	11-Jul	204.00	0.0
J. GOLDMAN	028	DE	B	28,000	83.64	n/a	11-Jul	1,120.00	0.0
FORTRESS INVESTMENT (US)	036	DHR	B	23,300	74.23	n/a	n/a	466.00	0.0
SCOPUS FUND	041	DLTR	S	38,491	56.40	n/a	4-Jun	1,539.64	0.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>DNKN</b>	<b>B</b>	<b>4,500</b>	<b>47.00</b>	<b>n/a</b>	<b>n/a</b>	<b>225.00</b>	<b>0.0</b>
FIRST INV MGMT CO	006	DVN	B	13,800	62.59	n/a	13-Jun	690.00	0.0
ROVER CAPITAL PARTNERS	040	EAT	SS	4,000	46.64	n/a	13-May	160.00	0.0
NOKOMIS PARTNERS	031	GDX	B	44,600	22.54	n/a	n/a	1,338.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	GE	B	63,800	26.90	n/a	n/a	1,276.00	0.0
ARDSLEY PARTNERS	280	GM	B	5,000	38.90	n/a	19-Jun	250.00	0.0
CAERUS GLOBAL	041	GM	S	1,400	39.00	n/a	19-Jun	56.00	0.0
CAPITAL RESEARCH GROUP		296	GM	S	250,000	38.85	n/a	19-Jun	8,750.00
FARBER	085	GM	B	32,500	38.43	n/a	19-Jun	1,300.00	0.0
SEVEN LOCKS CAPITAL	025	GPK	B	50,000	8.62	n/a	n/a	1,500.00	0.0
CR INTRINIC INVESTMENT	044	GT	S	21,891	21.81	n/a	n/a	656.73	0.0
FORTRESS INVESTMENT (US)	036	GT	B	5,000	21.74	n/a	n/a	200.00	0.0
ROVER CAPITAL PARTNERS	040	HOG	SS	2,000	67.35	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	IP	B	2,000	45.58	n/a	17-Jun	80.00	0.0
BRONSON POINT	036	IP	B	50,000	45.59	n/a	17-Jun	1,500.00	0.0
HAWKEYE CAPITAL	087	IP	S	100,000	45.61	n/a	17-Jun	3,000.00	0.0
CORNERSTONE	030	JCI	S	104,088	50.54	n/a	10-Jun	3,122.64	0.0
TROVE CAPITAL MANAGEMENT	237	JCP	B	20,000	9.12	n/a	18-Jun	600.00	0.0
FOUNDRY PARTNERS LLC	030	KORS	B	14,630	80.51	n/a	30-May	585.20	0.0
J. GOLDMAN	028	KS	SS	14,000	52.58	n/a	n/a	560.00	0.0
CHARTERBRIDGE CAPITAL	025	LGF	S	7,333	32.79	n/a	n/a	219.99	0.0
SCOPUS FUND	041	LPX	S	25,000	16.12	n/a	19-Jun	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	MAS	SS	85,800	21.56	n/a	n/a	1,716.00	0.0
PENNANT CAP MGMT	250	MDP	B	35,000	52.01	n/a	n/a	1,050.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	7.93	n/a	n/a	1,000.00	0.0
CLEARLINE CAPITAL LLC	006	OPK	SS	10,000	10.78	n/a	n/a	300.00	0.0
FORTRESS INVESTMENT (US)	036	PCAR	SS	33,100	55.84	n/a	n/a	662.00	0.0
J. GOLDMAN	028	PKG	SS	21,000	62.56	n/a	17-Jun	840.00	0.0
KENNEDY CAPITAL	046	PLCE	B	5,572	51.87	n/a	24-May	222.88	0.0
PRIMECAP MGMT	084	SCHW	S	21,229	24.93	n/a	n/a	849.16	0.0
ROVER CAPITAL PARTNERS	040	SPY	SS	4,000	179.23	n/a	n/a	160.00	0.0
KENNEDY CAPITAL	046	SSI	B	29,432	21.43	n/a	18-Jun	1,177.28	0.0
ZWEIG FUNDS	006	SUNE	B	50,000	12.90	n/a	n/a	2,500.00	0.0
FORTRESS INVESTMENT (US)	036	UNP	B	13,000	160.84	n/a	n/a	520.00	0.0
EPOCH INV MGMT	030	VECO	B	1,400	30.58	n/a	n/a	42.00	0.0
PENNANT CAP MGMT	250	VPRT	B	23,000	56.04	n/a	n/a	690.00	0.0
FORTRESS INVESTMENT (US)	036	WBC	B	20,400	85.18	n/a	31-May	408.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	WHR	SS	4,900	147.91	n/a	n/a	98.00	0.0
J. GOLDMAN	028	YUM	S	12,500	73.50	n/a	17-Jun	500.00	0.0
<b>TOTAL (Trade Date):</b>								<b>50,596.40</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/20	KORTRIGHT CAPITAL PARTNERS (KORTMS)	025	JOSB	B	10,000	50.00	n/a	n/a	300.00 0.0
AO,	11/20	KORTRIGHT CAPITAL PARTNERS (KORTMS)	025	JOSB	B	5,000	49.94	n/a	n/a	150.00 0.0
AO,CXL	11/20	KORTRIGHT CAPITAL PARTNERS (KORTGS)	025	JOSB	B	10,000	50.00	n/a	n/a	300.00 0.0
AO,CXL	11/20	KORTRIGHT CAPITAL PARTNERS (KORTGS)	025	JOSB	B	5,000	49.94	n/a	n/a	150.00 0.0
AO,	11/20	KORTRIGHT CAPITAL PARTNERS (KORTMS)	025	LPX	B	50,000	15.91	n/a	19-Jun	1500.00 0.0
AO,CXL	11/20	KORTRIGHT CAPITAL PARTNERS (KORTGS)	025	LPX	B	50,000	15.91	n/a	19-Jun	1500.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	50,596.40
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>50,596.40</b>
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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