



Daily Compliance Activity Report

Trade Date: 12/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AA	S	750	10.58	n/a	n/a	60.00	0.0
FRED ALGER MGMT	300	AIG	B	2,440	51.03	n/a	n/a	87.84	0.0
ZWEIG FUNDS	006	CMI	B	2,500	139.81	n/a	n/a	125.00	0.0
Õ Jack Chernus		CS	S	3352	30.7000	n/a	n/a	0.00	0.0
FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.33	n/a	19-Jun	600.00	0.0
STANDARD PACIFIC CAPITAL	084	DAR	S	94,250	20.89	n/a	n/a	4,712.50	0.0
ROVER CAPITAL PARTNERS	040	DIS	SS	4,375	75.43	n/a	n/a	175.00	0.0
Õ Jack Chernus		DO	S	500	56.3530	n/a	n/a	0.00	0.0
SCOPUS FUND	041	GM	S	50,000	40.81	n/a	19-Jun	2,000.00	0.0
SCOPUS FUND	041	KS	S	27,900	56.92	n/a	n/a	1,116.00	0.0
ROVER CAPITAL PARTNERS	040	MMM	SS	2,000	139.34	n/a	n/a	80.00	0.0
Õ Jack Chernus		NEM	S	500	22.9230	n/a	n/a	0.00	0.0
ROVER CAPITAL PARTNERS	040	PAYX	SS	3,000	45.58	n/a	n/a	120.00	0.0
SCOPUS FUND	041	PETM	B	15,000	73.20	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jack Chernus		PSK	S	1300	39.2600	n/a	n/a	0.00	0.0
Õ Jack Chernus		RIG	B	600	48.8700	n/a	n/a	0.00	0.0
WELCH CAPITAL	025	SPF	S	37,500	9.01	n/a	n/a	1,500.00	0.0
Õ Jack Chernus		SPY	S	500	183.7100	n/a	n/a	0.00	0.0
INTERVAL PARTNERS	033	SVU	B	130,000	7.02	n/a	n/a	3,900.00	0.0
ROVER CAPITAL PARTNERS	040	XOM	SS	2,500	101.43	n/a	n/a	100.00	0.0
TOTAL (Trade Date) :								15,176.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/27	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		AA	B	200,000	10.54	n/a	n/a	6000.00 0.0
AO,	12/27	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		AA	B	100,000	10.58	n/a	n/a	3000.00 0.0
AO,	12/27	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		AA	B	100,000	10.50	n/a	n/a	3000.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	15,176.34
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	15,176.34
--------------------------------	------------------

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