



## Daily Compliance Activity Report

Trade Date: 09/19/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT) 251		ADT	S	10,000	42.70		n/a	n/a	300.00 0.0
FRED ALGER MGMT	300	ALKS	S	860	35.06	n/a	n/a	30.96	0.0
FRED ALGER MGMT	300	ALK	S	715	62.78	n/a	n/a	25.74	0.0
FRED ALGER MGMT	300	ATU	S	1,650	39.41	n/a	n/a	59.40	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		A	B	25,000	51.93		n/a	n/a	750.00 0.0
KORT	025	BMS	SS	8,111	39.11	n/a	n/a	243.33	0.0
BTG PACTUAL	040	CAKE	SS	25,000	44.46	n/a	25-Apr	750.00	0.0
BAIRD INVESTMENT	047	CHD	B	38,200	62.39	n/a	17-Jun	1,910.00	0.0
PRIMECAP MGMT	084	CMA	B	200	39.50	n/a	n/a	8.00	0.0
IMPALA ASSET MMT	040	CMI	B	17,300	135.23	n/a	n/a	865.00	0.0
FRED ALGER MGMT	300	CNC	S	275	59.61	n/a	n/a	9.90	0.0
IMPALA ASSET MMT	040	CNW	S	112,096	41.85	n/a	n/a	5,604.80	0.0
FRED ALGER MGMT	300	CPA	S	340	139.00	n/a	30-May	12.24	0.0
FRED ALGER MGMT	300	CRL	S	245	46.77	n/a	n/a	8.82	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	CX	B	33,000	12.09	n/a	n/a	990.00	0.0
FRED ALGER MGMT	300	DAN	S	1,610	22.74	n/a	19-Jun	57.96	0.0
PATTEN & PATTEN	025	DBD	B	4,000	29.90	n/a	16-Jul	200.00	0.0
LATEEF MGMT	033	DD	S	1,750	60.42	n/a	n/a	234.00	0.0
TIDE POINT CAPITAL	028	DE	B	10,000	85.25	n/a	11-Jul	300.00	0.0
ASCEND PARTNERS	033	DKS	S	150,000	53.30	n/a	19-Jun	4,500.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	DOLE	S	106,000	13.59	n/a	n/a	2,120.00	0.0
CASTLEROCK	040	DRI	B	14,824	49.18	n/a	17-Jun	444.72	0.0
CASTLEROCK	040	DRI	SS	4,000	49.50	n/a	17-Jun	160.00	0.0
OZ MGMT	040	DRI	SS	89,792	49.14	n/a	17-Jun	2,693.76	0.0
MERRILL ASSET/BLACKROCK	085	EDD	S	53,000	14.51	n/a	n/a	2,120.00	0.0
IMPALA ASSET MMT	040	EMN	B	20,000	79.32	n/a	n/a	1,000.00	0.0
NEWLAND CAPITAL MGT	025	ETN	S	5,000	70.87	n/a	12-Jun	200.00	0.0
IMPALA ASSET MMT	040	FDX	SS	268	116.82	n/a	n/a	13.40	0.0
PENNANT CAP MGMT	250	FLR	S	11,000	71.27	n/a	n/a	220.00	0.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FL</b>	<b>B</b>	<b>4,000</b>	<b>33.43</b>	<b>n/a</b>	<b>19-Jun</b>	<b>200.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	250	FWLT	S	20,000	26.20	n/a	n/a	400.00	0.0
MAPLE LANE CAPITAL	040	FXI	B	50,000	38.71	n/a	n/a	2,500.00	0.0
OZ MGMT	040	F	C	50,000	17.59	n/a	19-Jun	1,500.00	0.0
J. GOLDMAN	028	HRS	B	4,000	57.93	n/a	19-Apr	160.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HUN	B	25,000	19.68		n/a	n/a	750.00 0.0
FARALLON CAP MGMT	040	IR	S	30,509	65.73	n/a	19-Jun	1,220.36	0.0
DC CAPITAL	044	KSS	B	20,000	52.97	n/a	18-Jun	800.00	0.0
STELLIAM INV ADV	086	LPX	B	50,000	18.12	n/a	19-Jun	2,500.00	0.0
FRED ALGER MGMT	300	LTM	S	810	51.01	n/a	n/a	29.16	0.0
ROYSTONE CAPITAL	040	LVL	S	50,000	27.53	n/a	n/a	1,500.00	0.0
IMPALA ASSET MMT	040	MDLZ	SS	948	32.91	n/a	n/a	37.92	0.0
ALLIANZ/NICOLAS APPLGATE	084	MET	S	162,260	47.14		n/a	n/a	5,679.10 0.0
BAIRD INVESTMENT	047	MKC	B	45,700	69.19	n/a	n/a	2,285.00	0.0
BMO / M&I FUNDS	047	MLI	S	4,480	55.92		n/a	19-Jun	179.20 0.0
IMPALA ASSET MMT	040	MTH	S	23,376	45.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	NCR	B	17,420	39.20	n/a	n/a	627.12	0.0
FRED ALGER MGMT	300	NOW	S	1,025	51.49	n/a	n/a	36.90	0.0
FRED ALGER MGMT	300	ONNN	S	3,105	7.45	n/a	n/a	93.15	0.0
FRED ALGER MGMT	300	ONXX	S	69,450	124.52	n/a	n/a	2,500.20	0.0
INTERVAL PARTNERS	033	PIR	C	10,000	20.98	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	PODD	S	770	37.57	n/a	n/a	27.72	0.0
FRED ALGER MGMT	300	PRXL	S	20,175	49.88	n/a	n/a	726.30	0.0
BADGE CAPITAL	030	RGS	B	1,000	14.85	n/a	n/a	50.00	0.0
OSKIE CAPITAL MGMT	224	RLGY	B	25,000	45.94	n/a	n/a	1,250.00	0.0
IMPALA ASSET MMT	040	ROK	B	21,000	109.06	n/a	n/a	1,050.00	0.0
FRED ALGER MGMT	300	SBNY	S	370	88.59	n/a	n/a	13.32	0.0
KORT	025	SCHL	SS	200	30.71	n/a	n/a	6.00	0.0
BADGE CAPITAL	030	SCHW	SS	1,000	20.70	n/a	n/a	30.00	0.0
FRED ALGER MGMT	300	SKT	S	645	33.29	n/a	n/a	23.22	0.0
IMPALA ASSET MMT	040	SPY	SS	34,700	172.77	n/a	n/a	1,735.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	STX	B	352,640	41.76	n/a	n/a	17,632.00	0.0
Õ Nilsa Vazquez		TBT	S	15	1.1700	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	THRX	S	645	40.58	n/a	n/a	23.22	0.0
PAR CAPITAL	029	TRIP	S	17,500	73.87	n/a	n/a	700.00	0.0
FRED ALGER MGMT	300	TSS	S	1,995	29.84	n/a	n/a	71.82	0.0
LOMAS CAPITAL	040	USB	S	114,000	37.75	n/a	n/a	3,420.00	0.0
STANDARD PACIFIC CAPITAL	084	USG	S	52,666	28.49	n/a	29-Apr	2,633.30	0.0
KEYGROUP/KGLT	040	VALE	B	25,000	16.58	n/a	n/a	1,000.00	0.0
FRED ALGER MGMT	300	WCN	S	775	45.01	n/a	n/a	27.90	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	S	10,500	23.20	n/a	n/a	315.00	0.0
S.A.C. CAPITAL	044	WGO	B	10,500	23.20	n/a	n/a	315.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	62,800	11.83	n/a	n/a	1,884.00	0.0
J. GOLDMAN	028	XLS	S	15,000	16.01	n/a	n/a	600.00	0.0
FRED ALGER MGMT	300	XONE	B	7,925	51.68	n/a	n/a	285.30	0.0
<b>TOTAL (Trade Date) :</b>								<b>82,949.24</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/17	GLG PARTNERS (GLGPNTHAU)	044	CPN	S	3,477	19.59	n/a	n/a	104.31	0.0
AO,CXL	09/17	GLG PARTNERS (GLGPELSAL)	044	CPN	S	3,477	19.59	n/a	n/a	104.31	0.0
AO,	09/18	ADAGE CAPITAL MGMT (ADAGGS)	030	HSP	B	17,060	40.14	n/a	17-Jun	511.80	0.0
AO,CXL	09/18	ADAGE CAPITAL MGMT (ADAGLONG)	030	HSP	B	17,060	40.14	n/a	17-Jun	511.80	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD61M710)	047	M	B	131	44.63	n/a	18-Jun	5.24	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD42V060)	047	M	B	43	44.63	n/a	18-Jun	1.72	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD711276)	047	M	B	62	44.63	n/a	18-Jun	2.48	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD41N108)	047	M	B	38	44.63	n/a	18-Jun	1.52	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	M	B	62	44.63	n/a	18-Jun	2.48	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	M	B	131	44.63	n/a	18-Jun	5.24	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	M	B	38	44.63	n/a	18-Jun	1.52	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	M	B	43	44.63	n/a	18-Jun	1.72	0.0

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

TOTAL (Trade Date):

82,949.24

TOTAL (AO, CXL, CRT):

-0.00

**TOTAL (RUN DATE) / NFS:****82,949.24**

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