



Daily Compliance Activity Report

Trade Date: 12/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	AAL	S	31,250	26.28	n/a	n/a	937.50	0.0
STATE OF WISCONSIN	047	AMGN	S	60,000	114.33	n/a	n/a	2,400.00	0.0
SAC CAPITAL/M GRONET	030	ANN	B	10,000	36.63	n/a	n/a	300.00	0.0
SHEFFIELD ASSET MGMT	031	ARO	S	100,000	8.47	n/a	n/a	3,000.00	0.0
WHITE PINE CAPITAL	030	ARO	S	900	8.51	n/a	n/a	45.00	0.0
FORWARD MGMT	033	BEE	S	50,000	9.46	n/a	n/a	2,000.00	0.0
STATE OF WISCONSIN	047	BMJ	S	80,000	53.45	n/a	n/a	3,200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CCK	S	40,000	43.57	n/a	n/a	1,200.00	0.0
BARON ASSET MGMT*	006	CHRW	S	25,000	56.82	n/a	n/a	1,000.00	0.0
FINDLAY PARK PART	085	CHTR	S	78,000	129.99	n/a	n/a	15,209.27	0.0
APEX CAPITAL MGMT.	033	CLF	B	50,000	24.46	n/a	n/a	2,000.00	0.0
SCOPUS FUND	041	CLF	S	20,200	24.67	n/a	n/a	808.00	0.0
DAVIDSON INV ADV	033	CPT	B	7,200	56.50	n/a	n/a	288.00	0.0
CLEARLINE CAPITAL LLC	006	CPWR	S	40,000	11.16	n/a	n/a	1,200.00	0.0
SCOUT/UMB	047	CVD	S	1,700	86.19	n/a	n/a	51.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	DPS	B	50,000	48.40	n/a	n/a	1,500.00	0.0
ROVER CAPITAL PARTNERS	040	DPZ	S	2,000	68.57	n/a	10-May	80.00	0.0
HARVEST MGMT	029	EA	B	20,000	23.44	n/a	n/a	800.00	0.0
KAYNE ANDERSON ADV	084	EPR	S	4,680	49.24	n/a	n/a	187.20	0.0
BRONSON POINT	036	FDX	B	8,384	140.75	n/a	n/a	251.52	0.0
CASTLEROCK	040	FINL	S	10,000	27.72	n/a	19-Jun	200.00	0.0
KLEINHEINZ CAP PART	031	FOXA	B	50,000	34.52	n/a	n/a	2,500.00	0.0
SCOPUS FUND	041	FOXA	B	19,550	34.24	n/a	n/a	782.00	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086	FOXA	B	30,000	34.24	n/a	n/a	900.00	0.0
HARVEST MGMT	029	GME	S	10,000	49.61	n/a	n/a	400.00	0.0
FRONTFOUR CAPITAL	046	GM	B	20,000	40.65	n/a	19-Jun	600.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	25,000	40.59	n/a	19-Jun	750.00	0.0
S.A.C. CAPITAL	044	GPI	SS	15,000	70.11	n/a	19-Jun	450.00	0.0
CORNERSTONE	030	HD	B	99,608	80.54	n/a	n/a	2,988.24	0.0
NORTHWESTERN MUTUAL LIFE	047	HIG	B	114,000	35.77	n/a	n/a	4,560.00	0.0
KAYNE ANDERSON ADV	084	INT	B	4,685	42.59	n/a	n/a	187.40	0.0
BRANDWINE	028	ITW	S	187,920	82.22	n/a	n/a	7,516.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DC CAPITAL	044	JNY	S	27,500	14.81	n/a	2-May	1,100.00	0.0
DEPRINCE, RACE & ZOLLO	093	JNY	S	171,600	14.82	n/a	2-May	5,148.00	0.0
TIDE POINT CAPITAL	028	LEA	S	33,200	79.97	n/a	19-Jun	996.00	0.0
IRIDIAN ASSET MGMT.	036	LSI	S	109,810	10.95	n/a	n/a	5,490.50	0.0
S.A.C. CAPITAL	044	MTW	B	20,025	22.51	n/a	11-Jul	600.75	0.0
STELLIAM INV ADV	086	MU	B	15,000	21.80	n/a	n/a	600.00	0.0
HARVEST MGMT	029	M	S	10,000	52.20	n/a	18-Jun	400.00	0.0
COUGAR TRADING	044	NAV	B	15,000	38.75	n/a	11-Jul	750.00	0.0
COUGAR TRADING	044	NAV	S	15,000	38.24	n/a	11-Jul	750.00	0.0
TYEE/TYGH	033	NAV	B	19,492	38.00	n/a	11-Jul	779.68	0.0
STATE OF WISCONSIN	047	NI	S	9,152	33.08	n/a	n/a	366.08	0.0
WHITE PINE CAPITAL	030	NLY	S	800	10.10	n/a	n/a	40.00	0.0
RIDGECREST INV MGMT LLC	028	OEF	B	10,000	81.53	n/a	n/a	400.00	0.0
GLG PARTNERS	280	ORCL	SS	100,000	36.55	n/a	n/a	5,000.00	0.0
SAC CAPITAL/M GRONET	030	PEP	SS	10,000	81.88	n/a	n/a	300.00	0.0
WHITE PINE CAPITAL	030	PGX	B	2,700	13.50	n/a	n/a	135.00	0.0
HARVEST MGMT	029	PIR	B	10,000	22.00	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	QQQ	B	10,000	86.42	n/a	n/a	400.00	0.0
RIDGECREST INV MGMT LLC	028	QQQ	S	25,000	86.48	n/a	n/a	1,000.00	0.0
LAKEWOOD CAPITAL MGMT	085	SFXE	SS	15,000	10.57	n/a	n/a	450.00	0.0
SCOUT/UMB	047	SLXP	S	1,700	85.85	n/a	17-Jun	51.00	0.0
STATE OF WISCONSIN	047	TIBX	B	72,791	20.98	n/a	n/a	2,911.64	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	4,800	62.51	n/a	18-Jun	240.00	0.0
GLG PARTNERS	280	UNP	S	23,125	164.22	n/a	n/a	1,156.25	0.0
FOUNDRY PARTNERS LLC	030	V	B	6,156	216.65	n/a	11-Jun	246.24	0.0
KAYNE ANDERSON ADV	084	WDFC	S	9,320	74.06	n/a	n/a	372.80	0.0
SCOUT/UMB	047	WDR	S	9,000	63.62	n/a	2-Mar	270.00	0.0
ROVER CAPITAL PARTNERS	040	WEN	S	5,000	8.58	n/a	20-May	200.00	0.0
CRAMER ROSENTHAL	070	WWE	B	12,451	15.10	n/a	n/a	498.04	0.0
DISCIPLINED GROWTH INV.	030	YHOO	S	2,500	40.48	n/a	n/a	125.00	0.0
TOTAL (Trade Date) :								89,468.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/19	FIRST NEW YORK (FNYS)	086	AMD	B	20,000	3.67	n/a	n/a	1000.00 0.0
AO,	12/19	FIRST NEW YORK (FNYS)	086	AMD	B	20,000	3.67	n/a	n/a	800.00 0.0
AO,	12/19	FORWARD MGMT (FORWFSOF)	033	CVC	S	20,000	16.93	n/a	n/a	800.00 0.0
AO,CXL	12/19	FORWARD MGMT (FORWSCEQFD)	033	CVC	S	20,000	16.93	n/a	n/a	800.00 0.0
AO,	12/19	CASTLEROCK (CASTJPM)	040	FINL	B	10,000	26.27	n/a	19-Jun	200.00 0.0
AO,CXL	12/19	CASTLEROCK (CASTUBS)	040	FINL	B	10,000	26.27	n/a	19-Jun	400.00 0.0
AO,CXL	12/19	GLG PARTNERS (GLGPELSGS)	280	MRO	S	27,262	34.49	n/a	n/a	1363.10 0.0
AO,	12/19	GLG PARTNERS (GLGPELSUSG)	280	MRO	S	27,262	34.49	n/a	n/a	1363.10 0.0

TOTAL (AO, CXL, CRT) :	-400.00
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TOTAL (Trade Date) :	89,468.91
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TOTAL (RUN DATE) / NFS:	89,068.91
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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