



Daily Compliance Activity Report

Trade Date: 10/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AFFX	B	5,331	6.38	n/a	n/a	159.93	0.0
STRONG/MARK GRONET	030	ALK	S	15,000	64.93	n/a	n/a	600.00	0.0
STRONG/MARK GRONET	030	AMED	S	20,000	17.73	n/a	n/a	800.00	0.0
SYSTEMATIC FINANCIAL MGT	070	BBY	B	143,375	37.29	n/a	n/a	4,301.25	0.0
SIMMONS VENTURES	041	BODY	S	24,000	5.42	n/a	n/a	1,200.00	0.0
LONG POND	029	CBG	B	50,000	22.55	n/a	n/a	2,000.00	0.0
PRIMECAP MGMT	084	CMA	B	5,000	38.83	n/a	n/a	200.00	0.0
TYVOR CAPITAL LLC	031	COST	SS	11,453	114.03	n/a	n/a	343.59	0.0
CORTEX CAPITAL	031	DVN	S	50,000	58.47	n/a	13-Jun	1,500.00	0.0
COHE & STEERS	041	ESRT	B	62,355	13.22	n/a	n/a	1,870.65	0.0
FRED ALGER MGMT	300	ESRX	B	29,650	62.54	n/a	n/a	1,067.40	0.0
LOMAS CAPITAL	040	FL	S	18,669	33.10	n/a	19-Jun	560.07	0.0
OSKIE CAPITAL MGMT	224	F	S	100,000	16.91	n/a	19-Jun	5,000.00	0.0
BADGE CAPITAL	030	GES	B	1,000	29.33	n/a	31-May	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	HCOM	S	500	26.95	n/a	n/a	15.00	0.0
ARDSLEY PARTNERS	280	HD	SS	10,000	75.47	n/a	n/a	500.00	0.0
RAINIER INV MGMT	033	HXL	B	26,530	39.13	n/a	22-Apr	1,061.20	0.0
BTIG/MONT PELERIN	084	JAZZ	B	7,500	89.12	n/a	n/a	300.00	0.0
PAULSON & CO INC	041	JAZZ	S	75,000	88.94	n/a	n/a	2,250.00	0.0
LISTED ERR	099	JAZZ	B	600	90.00	n/a	n/a	0.00	0.0
LISTED ERR	099	JAZZ	SS	600	90.00	n/a	n/a	0.00	0.0
LONG POND	029	JLL	B	25,000	84.22	n/a	n/a	1,000.00	0.0
TYVOR CAPITAL LLC	031	JWN	SS	5,000	56.69	n/a	18-Jun	150.00	0.0
LISTED ERR	099	JWN	B	5,000	56.64	n/a	18-Jun	0.00	0.0
LISTED ERR	099	JWN	SS	5,000	56.67	n/a	18-Jun	0.00	0.0
PRIMECAP MGMT	084	LLY	B	3,100	47.80	n/a	n/a	124.00	0.0
ARDSLEY PARTNERS	280	LPX	S	30,000	17.54	n/a	19-Jun	1,500.00	0.0
TIDE POINT CAPITAL	028	LPX	B	60,000	17.69	n/a	19-Jun	1,800.00	0.0
PARKWEST	084	LRN	B	50,000	29.05	n/a	n/a	2,000.00	0.0
TIDE POINT CAPITAL	028	MGA	B	25,000	85.00	n/a	n/a	750.00	0.0
T. ROWE PRICE	243	NFLX	S	85,000	319.42	n/a	n/a	3,400.00	0.0
NEWLAND CAPITAL MGT	025	PAG	B	5,000	42.29	n/a	19-Jun	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	033	ROSE	S	50,720	57.03	n/a	n/a	2,028.80	0.0
NEWLAND CAPITAL MGT	025	SAH	SS	5,000	23.88	n/a	n/a	200.00	0.0
ARDSLEY PARTNERS	280	SLXP	B	10,000	71.10	n/a	17-Jun	500.00	0.0
TUDOR INVESTORS	028	ST	S	5,000	38.94	n/a	n/a	150.00	0.0
TYVOR CAPITAL LLC	031	SWY	S	3,200	31.71	n/a	n/a	96.00	0.0
PRIMECAP MGMT	084	SYMC	S	13,000	25.08	n/a	n/a	520.00	0.0
TUDOR INVESTORS	028	TRW	B	5,000	72.93	n/a	n/a	150.00	0.0
WOOSTER CAPITAL	044	TRW	B	10,000	72.84	n/a	n/a	500.00	0.0
WADDELL AND REED	047	TXN	B	559,080	39.90	n/a	n/a	22,363.20	0.0
T. ROWE PRICE	243	UNP	S	80,110	153.35	n/a	n/a	3,204.40	0.0
LONG OAR GLOBAL INV	040	URI	B	12,000	58.47	n/a	17-Apr	480.00	0.0
MFP INVESTORS	085	VNO	B	3,000	83.70	n/a	n/a	150.00	0.0
PRIMECAP MGMT	084	WFC	B	10,000	40.75	n/a	6-Jun	400.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	32,400	26.61	n/a	n/a	972.00	0.0
Ñ Nilsa Vazquez		WWW	B	200	57.7770	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS	280	WY	S	30,000	28.32	n/a	19-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	XLP	SS	15,000	39.59	n/a	n/a	450.00	0.0
CASTLEROCK	040	YUM	SS	5,000	71.38	n/a	17-Jun	200.00	0.0
KEY ASSET MGMT/VICTORY	220	ZMH	B	113,750	83.31	n/a	n/a	4,550.00	0.0
TOTAL (Trade Date):								73,097.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/04	LATEEF MGMT (LATESCH569)	033	CVS	B	600	56.90	n/a	n/a	60.00 0.0
AO,CXL	10/04	LATEEF MGMT (LATE50021)	033	CVS	B	600	56.90	n/a	n/a	60.00 0.0
AO,CRT	10/04	LATEEF MGMT (LATESCH569)	033	TRV	S	500	84.42	n/a	n/a	60.00 0.0
AO,CXL	10/04	LATEEF MGMT (LATE50021)	033	TRV	S	500	84.42	n/a	n/a	60.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	73,097.49
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	73,097.49
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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