



## Daily Compliance Activity Report

Trade Date: 12/13/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	AEO	SS	35,000	14.25	n/a	2-Dec	1,050.00	0.0
EMPYREAN CAPITAL	084	AER	B	50,000	24.78	n/a	n/a	1,500.00	0.0
CLOVIS CAPITAL	033	ARG	SS	9,000	106.80	n/a	n/a	450.00	0.0
VISIUM/BALY BOBBY	044	AVP	S	211,718	16.81	n/a	17-Jun	10,585.90	0.0
BALYASNY ASSET MGMT	044	AWI	B	25,000	54.54	n/a	n/a	1,250.00	0.0
CADIAN CAPITAL	041	BC	B	8,000	46.08	n/a	n/a	240.00	0.0
VISIUM/BALY BOBBY	044	BMV	SS	80,000	50.33	n/a	n/a	4,000.00	0.0
BMO / M&I FUNDS	047	CAG	S	21,334	31.78	n/a	n/a	853.36	0.0
ACK ASSET	028	CHRW	SS	35,000	56.29	n/a	n/a	1,050.00	0.0
VISIUM/BALY BOBBY	044	COO	C	29,981	122.64	n/a	n/a	1,499.05	0.0
INTERVAL PARTNERS	033	CSX	B	30,000	27.69	n/a	n/a	900.00	0.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>DD</b>	<b>B</b>	<b>500</b>	<b>60.16</b>	<b>n/a</b>	<b>n/a</b>	<b>20.00</b>	<b>0.0</b>
PAULSON & CO INC	041	DYN	C	50,000	20.57	n/a	n/a	2,000.00	0.0
YORK CAPITAL	036	ELN	S	500,000	17.84	n/a	n/a	5,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	FFBC	B	60,922	16.50	n/a	n/a	1,827.66	0.0
OZ MGMT	040	F	SS	100,000	16.61	n/a	19-Jun	3,000.00	0.0
SCOPUS FUND	041	F	B	25,000	16.73	n/a	19-Jun	1,000.00	0.0
CORTEX CAPITAL	031	GES	SS	20,000	30.63	n/a	31-May	600.00	0.0
KLEINHEINZ CAP PART	031	GES	SS	62,858	30.52	n/a	31-May	3,142.90	0.0
CAERUS GLOBAL	041	GM	S	25,000	40.09	n/a	19-Jun	1,000.00	0.0
HALCYON LLC	041	GM	B	41,811	40.09	n/a	19-Jun	1,254.33	0.0
WEXFORD CAPITAL	284	GM	B	94,260	40.18	n/a	19-Jun	2,827.80	0.0
FOUNDRY PARTNERS LLC	030	HD	B	12,375	79.24	n/a	n/a	495.00	0.0
J. GOLDMAN	028	IP	S	10,000	47.80	n/a	17-Jun	400.00	0.0
CADIAN CAPITAL	041	JACK	B	32,000	46.87	n/a	n/a	960.00	0.0
CSL ASSOCIATES	006	JBLU	B	10,000	8.79	n/a	18-Jun	400.00	0.0
FARBER	006	JBLU	B	15,000	8.74	n/a	18-Jun	450.00	0.0
FIRST NY SEC/CHRIS	041	JBLU	B	10,000	8.72	n/a	18-Jun	500.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	128,600	8.75	n/a	18-Jun	3,858.00	0.0
WAGONHOUND/NICOLAS	033	JBLU	B	75,000	8.76	n/a	18-Jun	2,250.00	0.0
GEORGE WEISS	278	KNX	S	25,000	17.79	n/a	n/a	750.00	0.0
BALYASNY ASSET MGMT	044	KORS	B	25,000	82.00	n/a	30-May	1,250.00	0.0
CHARTERBRIDGE CAPITAL	025	LULU	SS	13,000	59.01	n/a	19-Jun	390.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	LULU	SS	5,000	59.03	n/a	19-Jun	250.00	0.0
OTTER CREEK MGMT	093	LULU	B	10,000	59.12	n/a	19-Jun	500.00	0.0
ASCEND PARTNERS	033	MJN	S	16,450	84.08	n/a	n/a	493.50	0.0
BRONSON POINT	036	MS	S	45,000	30.79	n/a	6-Jun	1,350.00	0.0
ACK ASSET	028	PGTI	B	25,000	9.90	n/a	n/a	750.00	0.0
CORVEX CAPITAL	041	QCOM	SS	50,000	72.70	n/a	n/a	1,500.00	0.0
COLUMBUS CIRCLE	036	RATE	S	5,496	17.16	n/a	n/a	195.66	0.0
ROTHSCHILD ASSET	040	RFMD	S	4,110	5.05	n/a	n/a	164.40	0.0
ASCEND PARTNERS	033	RH	S	70,000	63.89	n/a	n/a	2,100.00	0.0
EMPYREAN CAPITAL	084	UAL	C	75,000	38.65	n/a	18-Jun	2,250.00	0.0
FIRST NY SEC/CHRIS	041	UAL	B	6,400	38.33	n/a	18-Jun	320.00	0.0
BALYASNY ASSET MGMT	044	VMC	B	25,000	56.10	n/a	n/a	1,250.00	0.0
VISIUM/BALY BOBBY	044	VRX	B	37,000	106.23	n/a	n/a	1,850.00	0.0
EMPYREAN CAPITAL	084	XLE	SS	50,000	85.11	n/a	n/a	1,500.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>71,227.56</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/13	FARBER (FARBGS)	006	JBLU	B	15,000	8.74	n/a	18-Jun	450.00 0.0
AO,CXL	12/12	PATTEN & PATTEN (PATTREGION)	025	KMB	S	500	103.81	n/a	17-Jun	25.00 0.0
AO,CRT	12/12	PATTEN & PATTEN (PATTMERR)	025	KMB	S	500	103.81	n/a	17-Jun	25.00 0.0
AO,	12/12	DONALD SMITH (DSMTNYPHFU)	088	LUV	S	22,134	18.35	n/a	18-Jun	664.02 0.0
AO,CXL	12/12	HIGHLINE ADV (HIGLJPM)	044	MGM	B	400,000	20.80	n/a	13-Jun	16000.00 0.0
AO,	12/12	HIGHLINE ADV (HIGLJPM)	044	MGM	B	400,000	20.80	n/a	13-Jun	20000.00 0.0
AO,	12/12	METROPOLITAN CAPITAL (METRDEUTSC)	044	PLCE	B	2,100	53.67	n/a	24-May	105.00 0.0
AO,	12/12	METROPOLITAN CAPITAL (METRGS BUL)	044	PLCE	B	5,200	53.67	n/a	24-May	260.00 0.0
AO,CXL	12/12	METROPOLITAN CAPITAL (METRSPEAR)	044	PLCE	B	2,300	53.71	n/a	24-May	115.00 0.0
AO,CXL	12/12	METROPOLITAN CAPITAL (METRSPEAR)	044	PLCE	B	6,300	53.66	n/a	24-May	315.00 0.0
AO,	12/12	METROPOLITAN CAPITAL (METRSPEAR)	044	PLCE	B	1,300	53.67	n/a	24-May	65.00 0.0

**TOTAL (AO, CXL, CRT) :****5,114.02**

TOTAL (Trade Date):

71,227.56

TOTAL (AO, CXL, CRT):

5,114.02

**TOTAL (RUN DATE) / NFS:****76,341.58**

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