



Daily Compliance Activity Report

Trade Date: 01/31/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	AAL	B	25,000	33.43	n/a	n/a	1,250.00	0.0
CADIAN CAPITAL	041	AAP	S	4,400	115.32	n/a	n/a	132.00	0.0
JET CAPITAL/CHRIS	041	APD	S	25,000	104.37	n/a	n/a	750.00	0.0
BARROW HANLEY MEWHINNEY	031	AXP	S	800	85.34	n/a	19-Jun	28.00	0.0
BARROW HANLEY MEWHINNEY	031	BP	S	6,800	46.83	n/a	n/a	238.00	0.0
LOCUST WOOD CAPITAL MGMT	044	CHTR	B	3,000	137.75	n/a	n/a	120.00	0.0
CR INTRINIC INVESTMENT	044	CP	S	2,500	151.95	n/a	n/a	75.00	0.0
COLUMBUS CAP MGMT LLC	084	CSCO	SS	26,000	21.86	n/a	26-Feb	1,040.00	0.0
BARROW HANLEY MEWHINNEY	031	GD	S	5,800	99.09	n/a	5-Apr	203.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	36.44	n/a	19-Jun	600.00	0.0
ROSEDALE CAPITAL	046	GM	S	10,000	36.45	n/a	19-Jun	400.00	0.0
PROVIDENCE EQUITY CAPITAL	040	HRG	S	3,000	11.95	n/a	n/a	60.00	0.0
KAM ADVISORS LLC	041	IP	C	103,800	47.84	n/a	17-Jun	3,114.00	0.0
MAPLE ROW	006	JBLU	B	5,000	8.84	n/a	18-Jun	150.00	0.0
LEVIN CAPITAL STRATEGIES	041	JNPR	B	37,543	26.76	n/a	26-Feb	1,126.29	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	JWN	C	75,313	57.47	n/a	18-Jun	2,259.39	0.0
SIGMA CAPITAL ASSOCIATES	041	KKD	SS	50,000	17.04	n/a	n/a	1,500.00	0.0
NUDGE CAPITAL FUND LP	006	LEA	B	3,900	73.48	n/a	19-Jun	117.00	0.0
NUDGE CAPITAL FUND LP	006	LEA	SS	3,900	75.51	n/a	19-Jun	117.00	0.0
LOCUST WOOD CAPITAL MGMT	044	LINTA	B	26,440	26.73	n/a	n/a	1,057.60	0.0
SIGMA CAPITAL ASSOCIATES	041	MCD	B	25,000	94.09	n/a	17-Jun	750.00	0.0
LOCUST WOOD CAPITAL MGMT	044	MCK	B	5,285	174.66	n/a	n/a	211.40	0.0
ARDSLEY PARTNERS/RIDGECREST	306	PX	S	10,000	124.13		n/a	n/a	500.00 0.0
BARROW HANLEY MEWHINNEY	031	RTN	S	4,500	93.26	n/a	11-Mar	157.50	0.0
SENATOR INVEST GROUP	287	SIG	B	50,000	80.29	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	SPY	SS	5,000	179.08	n/a	n/a	150.00	0.0
ADAGE CAPITAL MGMT	310	SWY	B	6,850	30.52	n/a	n/a	205.50	0.0
LOCUST WOOD CAPITAL MGMT	044	TMO	B	16,855	115.09	n/a	n/a	674.20	0.0
TUDOR INVESTORS	028	TRW	S	5,000	74.35	n/a	n/a	150.00	0.0
DAVIDSON INV ADV	033	TWC	S	22,860	134.07	n/a	n/a	914.40	0.0
T. ROWE PRICE	243	TXI	S	4,349	75.53	n/a	n/a	173.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	TYC	B	15,000	40.55	n/a	26-Apr	450.00	0.0
STRONG/MARK GRONET	030	UAL	S	10,000	46.03	n/a	18-Jun	400.00	0.0
BARROW HANLEY MEWHINNEY	031	UNH	S	7,100	71.59	n/a	n/a	248.50	0.0
JET CAPITAL/CHRIS	041	VZ	SS	13,050	47.48	n/a	n/a	391.50	0.0
SCOPUS FUND	041	WY	B	16,248	29.94	n/a	19-Jun	649.92	0.0
CORTEX CAPITAL	031	XRT	SS	20,000	79.40	n/a	n/a	600.00	0.0
TOTAL (Trade Date):								22,464.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/29	TWO OCEAN CAPITAL (TWOOMS)	084	ANN	SS	37,150	32.34	n/a	n/a	1114.50 0.0
AO,CRT	01/29	TWO OCEAN CAPITAL (TWOOMS)	084	ANN	SS	37,150	32.34	n/a	n/a	1486.00 4.0

TOTAL (AO, CXL, CRT) :	371.50
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TOTAL (Trade Date) :	22,464.16
TOTAL (AO, CXL, CRT) :	371.50

TOTAL (RUN DATE) / NFS:	22,835.66
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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