



Daily Compliance Activity Report

Trade Date: 10/15/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	AAPL	B	3,200	501.21	n/a	n/a	115.20	0.0
S.A.C. CAPITAL	044	ACOR	SS	39,456	32.16	n/a	n/a	1,183.68	0.0
FRED ALGER MGMT	300	ACT	B	4,195	141.28	n/a	19-Jun	151.02	0.0
S.A.C. CAPITAL	044	ANGI	B	100,000	15.30	n/a	n/a	3,000.00	0.0
ARCHON CAPITAL	033	ARNA	B	184,800	4.62	n/a	n/a	5,544.00	0.0
INTERVAL PARTNERS	033	ASNA	SS	30,000	19.50	n/a	n/a	900.00	0.0
COHE & STEERS	041	BEE	B	24,650	8.75	n/a	n/a	493.00	0.0
TUDOR INVESTORS	028	CCK	B	5,000	41.27	n/a	n/a	150.00	0.0
FRED ALGER MGMT	300	CMCSA	B	13,645	46.50	n/a	n/a	491.22	0.0
FRED ALGER MGMT	300	CRM	B	6,070	50.79	n/a	n/a	218.52	0.0
PROSPECTOR PARTNERS LLC	036	CSCO	B	8,400	23.25	n/a	26-Feb	336.00	0.0
FRED ALGER MGMT	300	DLPH	B	7,070	56.90	n/a	n/a	254.52	0.0
CAMBIAR CAP	046	DRI	S	350,000	51.08	n/a	17-Jun	14,000.00	0.0
SURVEYOR CAPITAL	251	DRI	B	50,000	51.00	n/a	17-Jun	2,000.00	0.0
FRED ALGER MGMT	300	EBAY	B	10,100	54.06	n/a	n/a	363.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	GPC	C	13,000	78.84	n/a	n/a	390.00	0.0
TIDE POINT CAPITAL	028	GT	S	15,000	22.66	n/a	n/a	450.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	3,850	27.12	n/a	n/a	115.50	0.0
FRED ALGER MGMT	300	HON	B	5,760	85.18	n/a	19-Apr	207.36	0.0
FRED ALGER MGMT	300	HXL	S	28,790	39.53	n/a	22-Apr	1,036.44	0.0
TUDOR INVESTORS	028	IYR	SS	10,000	65.27	n/a	n/a	300.00	0.0
ROVER CAPITAL PARTNERS	040	JCP	B	8,500	7.37	n/a	18-Jun	255.00	0.0
SCOPUS FUND	041	KS	B	10,000	46.31	n/a	n/a	400.00	0.0
PAR CAPITAL	029	LCC	C	50,000	20.63	n/a	18-Jun	2,000.00	0.0
FRED ALGER MGMT	300	LVS	B	7,015	69.23	n/a	13-Jun	252.54	0.0
MERRILL ASSET/BLACKROCK	085	MA	S	1,000	683.75	n/a	13-Jun	40.00	0.0
MATRIX ASSET ADV.	091	MCD	B	3,500	93.73	n/a	17-Jun	140.00	0.0
PROSPECTOR PARTNERS LLC	036	MDLZ	B	7,900	30.54	n/a	n/a	316.00	0.0
PROSPECTOR PARTNERS LLC	036	PEP	B	8,800	80.78	n/a	n/a	352.00	0.0
CHARTERBRIDGE CAPITAL	025	PGTI	B	2,729	9.73	n/a	n/a	81.87	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	PG	B	2,605	77.54	n/a	17-Jun	93.78	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	58.43	n/a	17-Jun	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	PNR	SS	31,000	64.82	n/a	n/a	620.00	0.0
SIMMONS VENTURES	041	PSUN	B	40,000	2.87	n/a	n/a	2,000.00	0.0
FRED ALGER MGMT	300	PVH	B	4,555	118.71	n/a	14-Jun	163.98	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	15,000	106.66	n/a	17-Jun	750.00	0.0
ADAGE CAPITAL MGMT	030	TEN	S	50,000	51.70	n/a	n/a	1,500.00	0.0
FRED ALGER MGMT	300	TEN	B	44,796	51.64	n/a	n/a	1,612.66	0.0
SYMPHONY ASSET	033	TMUS	B	7,220	26.44	n/a	n/a	216.60	0.0
Õ Nilsa Vazquez		TMV	B	500	70.4350	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TRW	S	10,000	74.89	n/a	n/a	300.00	0.0
WOOSTER CAPITAL	044	TRW	S	20,000	74.45	n/a	n/a	1,000.00	0.0
CALA	041	URBN	B	135,000	35.84	n/a	n/a	4,050.00	0.0
FRED ALGER MGMT	300	VAL	B	6,055	66.36	n/a	n/a	217.98	0.0
FRED ALGER MGMT	300	VZ	S	49,075	46.69	n/a	n/a	1,766.70	0.0
FRED ALGER MGMT	300	WCC	S	36,000	74.55	n/a	n/a	1,296.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	WHR	B	4,520	131.22	n/a	n/a	135.60	0.0
ROXBURY CAPITAL (HOOD RIVER CAP)	033	WOOF	B	50,000	27.67		n/a	n/a	1,500.00 0.0
TOTAL (Trade Date):								54,260.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/14	ADAGE CAPITAL MGMT (ADAGGS)	030	DRC	B	496	61.80	n/a	n/a	14.88 0.0
AO,CRT	10/14	ADAGE CAPITAL MGMT (ADAGMS)	030	DRC	B	496	61.80	n/a	n/a	14.88 0.0
AO,CXL	10/14	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	10,000	73.28	n/a	19-Jun	500.00 0.0
AO,	10/14	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	10,000	73.28	n/a	19-Jun	300.00 0.0
AO,CXL	10/14	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	PRU	B	21,000	80.27	n/a	n/a	630.00 0.0
AO,CRT	10/14	IONIC CAPITAL MANAGEMENT (IONICS)	041	PRU	B	21,000	80.27	n/a	n/a	630.00 0.0
TOTAL (AO, CXL, CRT) :										-200.00
TOTAL (Trade Date) :										54,260.77
TOTAL (AO, CXL, CRT) :										-200.00
TOTAL (RUN DATE) / NFS :										54,060.77

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