



## Daily Compliance Activity Report

Trade Date: 10/08/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AFFX	B	20,000	6.37	n/a	n/a	600.00	0.0
SEVEN LOCKS CAPITAL	025	BERY	B	10,000	18.71	n/a	n/a	300.00	0.0
BERYLSON CAPITAL	030	BONT	B	27,184	9.99	n/a	18-Jun	815.52	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	400,000	2.67	n/a	n/a	8,000.00	0.0
LONG POND	029	CBG	B	30,000	22.43	n/a	n/a	1,200.00	0.0
KEYGROUP/KGLT	040	CHK	SS	25,000	26.05	n/a	n/a	1,000.00	0.0
S.A.C. CAPITAL	044	CMI	SS	15,100	130.01	n/a	n/a	453.00	0.0
JET CAPITAL/CHRIS	041	CPWR	B	50,000	10.85	n/a	n/a	1,500.00	0.0
T. ROWE PRICE	243	CTXS	B	59,800	67.61	n/a	n/a	2,392.00	0.0
INTERVAL PARTNERS	033	DAN	SS	15,000	21.72	n/a	19-Jun	450.00	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	S	15,000	13.58	n/a	n/a	600.00	0.0
PROSPECTOR PARTNERS LLC	036	DWA	S	10,000	28.21	n/a	n/a	400.00	0.0
FARALLON CAP MGMT	040	EMC	S	64,199	25.04	n/a	26-Feb	2,567.96	0.0
PRIMECAP MGMT	084	EMC	B	10,000	24.72	n/a	26-Feb	400.00	0.0
S.A.C. CAPITAL	044	EMR	B	10,000	63.19	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	21.03	n/a	9-May	400.00	0.0	
CASTLEROCK	040	F	SS	45,436	16.60	n/a	19-Jun	1,817.44	0.0	
LATEEF MGMT	033	GLW	B	125	14.06	n/a	n/a	25.00	0.0	
CAERUS GLOBAL	041	GM	B	25,000	34.85	n/a	19-Jun	1,000.00	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	B	5,193	34.87	n/a	19-Jun	155.79	0.0	
S.A.C. CAPITAL	044	GPK	B	80,000	8.22	n/a	n/a	2,400.00	0.0	
GEORGE WEISS	278	GPS	S	86,000	39.29	n/a	n/a	2,580.00	0.0	
NOKOMIS PARTNERS	031	HCOM	S	9,109	26.51	n/a	n/a	273.27	0.0	
LONG POND	029	HHC	SS	20,000	112.14	n/a	n/a	800.00	0.0	
BALYASNY ASSET MGMT	044	HST	S	50,000	17.43	n/a	13-Jun	2,500.00	0.0	
RAINIER INV MGMT	033	HXL	B	134,300	38.69	n/a	22-Apr	5,372.00	0.0	
LONG POND	029	JLL	B	30,000	83.87	n/a	n/a	1,200.00	0.0	
MAPLE ROW	006	JNS	B	45,000	8.85	n/a	n/a	1,350.00	0.0	
S.A.C. CAPITAL	044	JWN	B	10,000	55.78	n/a	18-Jun	300.00	0.0	
TIDE POINT CAPITAL	028	LEA	B	5,000	70.58	n/a	19-Jun	150.00	0.0	
ENTRUST CAPITAL-N/C TO MSF CAP		040	LLY	B	27,783	48.08	n/a	n/a	1,389.15	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PRIMECAP MGMT	084	LLY	B	3,500	47.56	n/a	n/a	140.00	0.0	
LONG POND	029	LL	SS	45,000	103.02	n/a	n/a	1,800.00	0.0	
PROSPECTOR PARTNERS LLC	036	L	S	10,000	46.63	n/a	n/a	400.00	0.0	
TIDE POINT CAPITAL	028	MGA	B	3,000	82.30	n/a	n/a	90.00	0.0	
LATEEF MGMT	033	MSFT	S	100	32.92	n/a	n/a	28.00	0.0	
AVENUE CAPITAL MGMT	070	MTOR	B	200,000	7.85	n/a	n/a	6,000.00	0.0	
S.A.C. CAPITAL	044	M	B	10,000	42.47	n/a	18-Jun	300.00	0.0	
PRIMECAP MGMT	084	NKTR	B	55,400	10.35	n/a	n/a	1,816.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)251		NWSA	S	50,000	15.80		n/a	n/a	1,500.00	0.0
COLUMBIA PARTNERS	028	OCN	S	23,937	52.58	n/a	n/a	718.11	0.0	
HERRING CREEK CAPITAL MGMT LLC040		PETM	SS	32,000	74.52		n/a	n/a	960.00	0.0
BALYASNY ASSET MGMT	044	PLCE	SS	50,000	53.46	n/a	24-May	2,500.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)251		PLCM	S	79,241	10.77		n/a	n/a	2,377.23	0.0
ROVER CAPITAL PARTNERS	040	QQQ	SS	2,500	77.41	n/a	n/a	100.00	0.0	
PAULSON & CO INC	041	RFP	S	56,742	12.38	n/a	n/a	1,702.26	0.0	
SIMMONS VENTURES	041	RH	B	2,500	60.01	n/a	n/a	125.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	033	ROSE	S	62,000	55.81	n/a	n/a	2,480.00	0.0
SEVEN LOCKS CAPITAL	025	SATS	B	13,000	46.50	n/a	n/a	390.00	0.0
GEORGE WEISS	278	SBH	S	55,000	25.69	n/a	n/a	1,650.00	0.0
ARDSLEY PARTNERS	280	SLXP	S	70,000	68.59	n/a	17-Jun	3,500.00	0.0
<b>Õ Nilsa Vazquez</b>		<b>TBT</b>	<b>S</b>	<b>15</b>	<b>0.5500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT) 251		TIBX	S	20,000	25.33		n/a	n/a	600.00 0.0
KORTRIGHT CAPITAL PARTNERS 025		TROX	SS	25,000	24.22	n/a	n/a	750.00	0.0
LATEEF MGMT	033	TRV	S	100	83.26	n/a	n/a	30.00	0.0
WOOSTER CAPITAL	044	TRW	B	15,000	71.28	n/a	n/a	750.00	0.0
MFP INVESTORS	085	VNO	B	34,668	83.86	n/a	n/a	1,733.40	0.0
<b>Õ Nilsa Vazquez</b>		<b>WWW</b>	<b>S</b>	<b>2</b>	<b>0.7100</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMICI CAPITAL N/C	044	XLF	SS	25,000	19.65	n/a	n/a	1,000.00	0.0
AMICI CAPITAL N/C	044	XLY	SS	307,000	59.34	n/a	n/a	12,280.00	0.0
LIONEYE CAPITAL	040	XRTX	B	20,000	10.81	n/a	n/a	1,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		YHOO	S	25,000	33.00		n/a	n/a	750.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BTG PACTUAL	040	YUM	B	10,000	66.75	n/a	17-Jun	300.00	0.0
BTG PACTUAL	040	YUM	SS	15,000	71.56	n/a	17-Jun	450.00	0.0
CASTLEROCK	040	YUM	B	16,722	68.32	n/a	17-Jun	668.88	0.0

**TOTAL (Trade Date):**

**91,580.01**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/07	CASTLEROCK (CASTJPM)	040	YUM	SS	5,000	71.38	n/a	17-Jun	200.00 0.0
AO,CRT	10/07	CASTLEROCK (CASTJPM)	040	YUM	SS	5,000	71.38	n/a	17-Jun	100.00 2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-100.00</b>

TOTAL (Trade Date):	91,580.01
TOTAL (AO, CXL, CRT):	-100.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>91,480.01</b>
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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