



## Daily Compliance Activity Report

Trade Date: 07/12/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	AAPL	S	275	427.50	n/a	n/a	97.50	0.0
DAVIDSON KEMPNER FRAN	028	AMZN	S	2,500	304.24	n/a	n/a	125.00	0.0
TALON ASSET MGMT.	006	AMZN	B	1,000	303.33	n/a	n/a	50.00	0.0
CR INTRINSIC/CHRIS C	041	ARII	SS	10,000	31.99	n/a	n/a	300.00	0.0
HARVEST MGMT (JMP)	029	ASNA	B	10,000	18.53	n/a	n/a	500.00	0.0
DELTEC ASSET MGMT.	040	CAM	B	6,000	64.68	n/a	n/a	300.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		CERN	C	11,800	49.41	n/a	n/a	354.00	0.0
RIDGECREST INV MGMT LLC	028	CGI	S	5,000	20.64	n/a	n/a	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		CHRW	SS	10,000	57.74	n/a	n/a	300.00	0.0
TALON ASSET MGMT.	006	CRM	B	2,500	42.23	n/a	n/a	125.00	0.0
BALYASNY ASSET MGMT	044	DLTR	S	60,000	53.78	n/a	4-Jun	3,000.00	0.0
DAVIDSON KEMPNER FRAN	028	EA	B	25,000	24.28	n/a	n/a	1,250.00	0.0
KENNEDY CAPITAL	046	FINL	B	27,780	22.48	n/a	19-Jun	1,111.20	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>FINL</b>	<b>S</b>	<b>100</b>	<b>22.44</b>	<b>n/a</b>	<b>19-Jun</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	FOSL	SS	25,000	109.52	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
HERRING CREEK CAPITAL MGMT LLC040		GHL	C	8,800	46.71		n/a	n/a	264.00	0.0
DAVIDSON KEMPNER FRAN	028	GM	B	33,556	36.15	n/a	19-Jun	1,677.80	0.0	
DAVIDSON KEMPNER FRAN	028	GNC	B	12,400	46.95	n/a	n/a	620.00	0.0	
NEWLAND CAPITAL MGT	025	HSC	S	20,000	24.95	n/a	9-May	800.00	0.0	
CRAMER ROSENTHAL	070	H	S	33,820	41.61	n/a	13-Jun	1,352.80	0.0	
J. GOLDMAN	028	JBLU	S	87,500	6.44	n/a	18-Jun	3,500.00	0.0	
PARAMETER CAPITAL MGMT LLC044		JOY	S	20,000	51.50	n/a	11-Jul	600.00	0.0	
TALON ASSET MGMT.	006	KRE	S	23,200	35.27	n/a	n/a	1,160.00	0.0	
J. GOLDMAN	028	KSS	SS	110,000	53.44	n/a	18-Jun	4,400.00	0.0	
STRONG/MARK GRONET	030	LCC	B	15,000	17.52	n/a	18-Jun	600.00	0.0	
LISTED ERR	099	LCC	B	5,300	17.67	n/a	18-Jun	0.00	0.0	
LISTED ERR	099	LCC	S	5,300	17.56	n/a	18-Jun	0.00	0.0	
CAERUS GLOBAL	041	LEA	S	10,000	64.76	n/a	19-Jun	400.00	0.0	
HERRING CREEK CAPITAL MGMT LLC040		LPX	B	81,000	17.10		n/a	19-Jun	2,430.00	0.0
SCOPUS FUND	041	LPX	B	70,000	17.11	n/a	19-Jun	2,800.00	0.0	
HERRING CREEK CAPITAL MGMT LLC040		MCO	C	8,300	61.16		n/a	n/a	249.00	0.0
ROTHSCHILD ASSET	040	MU	B	47,073	12.72	n/a	n/a	1,882.92	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FIRST NEW YORK	086	NOK	S	20,000	4.14	n/a	n/a	800.00	0.0	
NWQ INVESTMENT MGMT CO	084	NP	B	9,800	36.17	n/a	13-May	343.00	0.0	
TALON ASSET MGMT.	006	N	B	1,000	98.33	n/a	n/a	50.00	0.0	
WEISS PECK/ROBECO/BOSTON PT		040	SAVE	S	41,020	33.60	n/a	18-Jun	2,051.00	0.0
S.A.C. CAPITAL	044	SBUX	B	30,000	68.89	n/a	17-Jun	900.00	0.0	
DAVIDSON KEMPNER ADVISOR	040	SPY	C	11,875	167.28	n/a	n/a	356.25	0.0	
DENVER INST. ADV	046	SSI	B	71,326	24.98	n/a	18-Jun	2,853.04	0.0	
WADDELL AND REED	047	SSI	B	31,891	25.12	n/a	18-Jun	1,275.64	0.0	
ROTHSCHILD ASSET	040	STEI	S	81,770	13.17	n/a	n/a	3,270.80	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	THI	B	5,000	56.47		n/a	n/a	150.00	0.0
CENTURION PARTNERS	041	TMUS	S	20,000	24.71	n/a	n/a	1,000.00	0.0	
CR INTRINIC INVESTMENT	044	TPX	S	10,000	46.72	n/a	n/a	300.00	0.0	
DAVIDSON KEMPNER FRAN	028	TUMI	SS	25,000	25.60	n/a	n/a	1,250.00	0.0	
GLG PARTNERS	044	TUMI	B	15,000	25.60	n/a	n/a	750.00	0.0	
PRIMECAP MGMT	084	V	S	3,000	190.21	n/a	11-Jun	120.00	0.0	
TUDOR INVESTORS	028	WAB	B	5,000	55.98	n/a	n/a	150.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	WEN	SS	100,000	6.57	n/a	20-May	3,000.00	0.0
BRONSON POINT	036	WFC	SS	25,000	42.62	n/a	6-Jun	750.00	0.0
CR INTRINIC INVESTMENT	044	WFM	B	10,000	56.15	n/a	n/a	300.00	0.0
MAPLE ROW	006	WNC	B	5,000	10.76	n/a	n/a	250.00	0.0
FEDERATED INV/KAUFMAN	029	WY	B	57,100	29.45	n/a	19-Jun	2,855.00	0.0
CR INTRINSIC/CHRIS C	041	XRX	B	25,000	9.79	n/a	n/a	750.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>54,973.95</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/11	COLUMBUS CAP MGMT LLC (CBUSGSPB)	084	ABFS	S	50,000	22.73	n/a	n/a	2500.00 0.0
AO,CRT	07/11	COLUMBUS CAP MGMT LLC (CBUSGSPB)	084	ABFS	S	50,000	22.73	n/a	n/a	2000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-500.00</b>
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TOTAL (Trade Date) :	54,973.95
TOTAL (AO, CXL, CRT) :	-500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>54,473.95</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