



## Daily Compliance Activity Report

Trade Date: 10/28/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACE	S	29,680	96.05	n/a	n/a	1,187.20	0.0
PIONEER OAKRIDGE	031	ALGN	S	151,330	56.26	n/a	n/a	4,539.90	0.0
VISIUM/BALY BOBBY	044	AMCX	B	10,000	69.75	n/a	n/a	300.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		APD	B	10,000	109.73		n/a	300.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ARCP	B	15,000	13.62		n/a	450.00	0.0
MOORE CAPITAL	257	ATK	S	15,000	108.59	n/a	n/a	450.00	0.0
SONICA CAPITAL LLC	025	AVP	B	27,000	22.45	n/a	17-Jun	810.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		A	B	5,000	51.45		n/a	150.00	0.0
OZ MGMT	040	BA	B	32,646	129.64	n/a	11-Jun	1,632.30	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		BID	B	3,000	52.67		n/a	90.00	0.0
MOORE CAPITAL	257	BIIB	B	3,000	258.86	n/a	n/a	90.00	0.0
GALT INVESTMENT	041	CAB	B	15,000	60.52	n/a	n/a	750.00	0.0
SONICA CAPITAL LLC	025	CAT	SS	13,000	84.21	n/a	11-Jul	390.00	0.0
MERRILL ASSET/BLACKROCK	085	CB	B	6,500	92.44	n/a	n/a	260.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SANDLER CAPITAL	028	CRM	S	180,000	52.84	n/a	n/a	9,000.00	0.0	
J. GOLDMAN	028	DD	SS	17,500	61.60	n/a	n/a	700.00	0.0	
BESSEMER INVESTMENT	085	DG	S	200	59.14	n/a	4-Jun	8.00	0.0	
SIGMA CAPITAL ASSOCIATES	041	DPS	SS	25,000	47.58	n/a	n/a	750.00	0.0	
SUFFOLK CAPITAL MGMT	040	FDX	S	11,840	132.20	n/a	n/a	473.60	0.0	
INTERVAL PARTNERS	033	FL	B	25,000	34.69	n/a	19-Jun	750.00	0.0	
MOORE CAPITAL	257	GE	B	125,000	26.08	n/a	n/a	3,750.00	0.0	
MOORE CAPITAL	257	GE	S	50,000	25.85	n/a	n/a	1,500.00	0.0	
OSKIE CAPITAL MGMT	224	GM	B	12,000	35.80	n/a	19-Jun	600.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	GRA	B	1,500	91.60		n/a	n/a	45.00	0.0
ASCEND PARTNERS	033	GTI	C	71,781	8.14	n/a	n/a	2,153.43	0.0	
NOKOMIS PARTNERS	031	HCOM	S	20,544	27.00	n/a	n/a	616.32	0.0	
RIVERLOFT CAPITAL	044	HIG	B	25,000	33.68	n/a	n/a	750.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	HUN	B	5,000	21.73		n/a	n/a	150.00	0.0
CHARTERBRIDGE CAPITAL	025	INVN	C	75,000	18.22	n/a	n/a	2,250.00	0.0	
NEWLAND CAPITAL MGT	025	JBLU	S	30,000	7.62	n/a	18-Jun	900.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	154,700	7.61	n/a	18-Jun	6,188.00 0.0
MERRILL ASSET/BLACKROCK	085	JPM	B	11,881	52.84	n/a	17-Jun	475.24	0.0
CADIAN CAPITAL	041	JWN	C	50,000	60.39	n/a	18-Jun	1,500.00	0.0
MELLON/BANK OF NEW YORK	046	KMB	S	53,245	107.46	n/a	17-Jun	2,129.80	0.0
SCOPUS FUND	041	LAD	B	50,000	64.04	n/a	n/a	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		LAMR	B	5,000	46.61		n/a n/a	150.00	0.0
KENNEDY CAPITAL	046	LRN	B	10,000	18.66	n/a	n/a	400.00	0.0
BESSEMER INVESTMENT	085	MRO	S	330	36.21	n/a	n/a	13.20	0.0
AMICI CAPITAL N/C	044	NTAP	S	50,000	39.67	n/a	n/a	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		O	S	4,000	42.99		n/a n/a	120.00	0.0
BASSWOOD PARTNERS	267	PCAR	C	2,450	58.30	n/a	n/a	98.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	15,000	49.52	n/a	19-Jun	750.00	0.0
SUFFOLK CAPITAL MGMT	040	PCP	S	5,820	254.55	n/a	11-Jun	232.80	0.0
CADIAN CAPITAL	041	ROST	S	39,000	76.22	n/a	18-Jun	1,170.00	0.0
CASTLEROCK	040	SBUX	B	5,000	78.79	n/a	17-Jun	100.00	0.0
RIDGECREST INV MGMT LLC	028	SPY	SS	10,000	175.72	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GOLD SACHS SPECIAL SIT	030	SRI	S	25,000	13.01	n/a	n/a	1,250.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SWY	B	5,000	35.89		n/a	n/a	150.00 0.0
PROSPECTOR PARTNERS LLC	036	TRV	SS	17,100	87.19	n/a	n/a	684.00	0.0
JETSTREAM GLOBAL FUND LP	065	TSL	B	165,000	14.55	n/a	n/a	8,250.00	0.0
LOMAS CAPITAL	040	UAL	B	97,000	31.92	n/a	18-Jun	2,910.00	0.0
BESSEMER INVESTMENT	085	VIAB	S	300	84.75	n/a	n/a	12.00	0.0
FSI GROUP, LLC	047	WETF	B	100,000	14.20	n/a	n/a	4,999.60	0.0
RIDGECREST INV MGMT LLC	028	WY	S	20,000	31.21	n/a	19-Jun	800.00	0.0
<b>TOTAL (Trade Date):</b>								<b>72,578.39</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/17	COLUMBUS CIRCLE (COLC3050)	036	ATHL	S	757	33.07	n/a	n/a	30.28	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	AWK	B	8,270	42.24	n/a	n/a	330.80	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	AWK	B	8,270	42.24	n/a	n/a	330.80	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	CVS	B	3,570	61.28	n/a	n/a	142.80	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	CVS	B	3,570	61.28	n/a	n/a	142.80	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	DG	B	5,080	59.51	n/a	4-Jun	203.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	DG	B	5,080	59.51	n/a	4-Jun	203.20	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	LTD	B	3,510	61.56	n/a	n/a	140.40	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	LTD	B	3,510	61.56	n/a	n/a	140.40	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	M	B	5,890	45.08	n/a	18-Jun	235.60	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	M	B	5,890	45.08	n/a	18-Jun	235.60	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	MRO	B	3,730	35.33	n/a	n/a	149.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	MRO	B	3,730	35.33	n/a	n/a	149.20	0.0
AO,CRT	10/25	BESSEMER INVESTMENT (BESS8G2653)	085	TGT	B	3,730	63.81	n/a	23-May	149.20	0.0
AO,CXL	10/25	BESSEMER INVESTMENT (BESSMAIN)	085	TGT	B	3,730	63.81	n/a	23-May	149.20	0.0
AO,CXL	10/25	KORTRIGHT CAPITAL PARTNERS (KORTMS)	025	WY	S	20,000	31.41	n/a	19-Jun	600.00	0.0
AO,	10/25	KORTRIGHT CAPITAL PARTNERS (KORTMS)	025	WY	S	15,000	31.41	n/a	19-Jun	450.00	0.0
AO,	10/25	KORTRIGHT CAPITAL PARTNERS (KORTGS)	025	WY	S	5,000	31.41	n/a	19-Jun	150.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>30.28</b>	

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TOTAL (Trade Date):	72,578.39
TOTAL (AO, CXL, CRT):	30.28

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>72,608.67</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