



Daily Compliance Activity Report

Trade Date: 10/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AA	S	900	8.12	n/a	n/a	63.00	0.0
SYMPHONY ASSET	033	ADSK	S	15,949	40.51	n/a	n/a	478.47	0.0
PRIMECAP MGMT	084	AFFX	B	10,700	6.36	n/a	n/a	321.00	0.0
SYMPHONY ASSET	033	AMZN	B	1,122	320.08	n/a	n/a	33.66	0.0
LATEEF MGMT	033	ATI	S	550	30.90	n/a	11-Jun	55.00	0.0
SYMPHONY ASSET	033	AVGO	B	3,601	43.32	n/a	n/a	108.03	0.0
TOCQUEVILLE	046	AXLL	B	7,700	37.80	n/a	n/a	385.00	0.0
BALYASNY ASSET MGMT	044	AXL	SS	25,000	19.80	n/a	19-Jun	1,250.00	0.0
LATEEF MGMT	033	BA	S	100	117.51	n/a	11-Jun	30.00	0.0
SYSTEMATIC FINANCIAL MGT	070	BBY	B	129,350	38.01	n/a	n/a	3,880.50	0.0
WALL STREET CAPITAL	084	CAR	S	57,478	28.24	n/a	n/a	2,586.51	0.0
PRIMECAP MGMT	084	CMA	B	5,000	39.45	n/a	n/a	200.00	0.0
TOCQUEVILLE	046	CNX	B	11,900	33.56	n/a	n/a	595.00	0.0
SUFFOLK CAPITAL MGMT	040	C	B	34,500	49.05	n/a	17-Jun	1,380.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	DAL	B	254,610	24.11	n/a	18-Jun	12,730.50	0.0
LATEEF MGMT	033	DAL	S	150	24.03	n/a	18-Jun	30.00	0.0
NEWLAND CAPITAL MGT	025	EDG	S	50,000	11.88	n/a	n/a	2,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	EEM	B	171,690	41.31	n/a	n/a	3,433.80	0.0
LATEEF MGMT	033	ENR	B	525	92.24	n/a	17-Jun	106.25	0.0
CAPITAL GROWTH MGMT.	241	EOG	B	30,000	171.45	n/a	n/a	1,500.00	0.0
ROSEDALE CAPITAL	046	FET	S	6,000	27.52	n/a	n/a	240.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	FOXA	S	5,000	33.75		n/a	n/a	150.00 0.0
CAERUS GLOBAL	041	F	SS	50,000	17.20	n/a	19-Jun	2,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	50,000	17.16	n/a	19-Jun	1,500.00	0.0
TIDE POINT CAPITAL	028	GM	B	20,000	36.10	n/a	19-Jun	600.00	0.0
TUDOR INVESTORS	028	GM	B	10,000	36.19	n/a	19-Jun	300.00	0.0
LATEEF MGMT	033	GSPRD	B	250	19.74	n/a	n/a	25.00	0.0
DSG CAPITAL	030	GSVC	B	1,200	14.74	n/a	n/a	36.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	400	26.95	n/a	n/a	12.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	HRB	B	9,870	27.58	n/a	n/a	296.10	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HUN	S	20,000	21.03		n/a	n/a	600.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	IMGN	B	3,300	16.96	n/a	n/a	132.00	0.0
LATEEF MGMT	033	IP	B	300	45.32	n/a	17-Jun	61.00	0.0
GEORGE WEISS	278	JCI	SS	5,000	41.45	n/a	10-Jun	150.00	0.0
CAPITAL GROWTH MGMT.	241	KOG	B	150,000	12.48	n/a	n/a	6,500.00	0.0
LATEEF MGMT	033	K	B	100	58.50	n/a	n/a	25.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		LBTYK	S	4,500	76.34		n/a	n/a	135.00 0.0
IRIDIAN ASSET MGMT.	036	LDOS	B	179,410	47.16	n/a	n/a	8,970.50	0.0
STANDARD PACIFIC CAPITAL	084	LYV	B	50,000	18.85	n/a	n/a	2,500.00	0.0
TOCQUEVILLE	046	MAKO	S	64,510	29.54	n/a	n/a	3,225.50	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MSFT	S	10,000	33.48		n/a	n/a	300.00 0.0
CR INTRINIC INVESTMENT	044	MWV	S	49,300	38.51	n/a	18-Jun	1,479.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	40,000	38.46	n/a	18-Jun	2,000.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	38.52	n/a	18-Jun	200.00	0.0
CORTEX CAPITAL	031	M	B	15,000	43.60	n/a	18-Jun	450.00	0.0
DEPRINCE, RACE & ZOLLO	093	M	B	50,000	43.46	n/a	18-Jun	2,000.00	0.0
PRIMECAP MGMT	084	NKTR	B	3,900	10.29	n/a	n/a	156.00	0.0
CAPITAL GROWTH MGMT.	241	NTRI	B	30,000	14.57	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	NUE	SS	25,000	48.86	n/a	n/a	750.00	0.0
CAPITAL GROWTH MGMT.	241	OAS	B	40,000	50.61	n/a	n/a	2,000.00	0.0
LATEEF MGMT	033	OI	S	125	30.31	n/a	n/a	25.00	0.0
S.A.C. CAPITAL	044	OMX	B	45,000	12.96	n/a	n/a	1,350.00	0.0
LATEEF MGMT	033	PG	B	100	76.01	n/a	17-Jun	30.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PLCM	S	24,800	11.02		n/a	n/a	744.00 0.0
LATEEF MGMT	033	POT	B	850	31.88	n/a	n/a	85.00	0.0
SHEFFIELD ASSET MGMT	031	PVH	B	59,200	116.33	n/a	14-Jun	2,368.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	20,000	104.10	n/a	17-Jun	1,000.00	0.0
ROYCE TRADING	031	STT	B	5,300	66.68	n/a	17-Jun	265.00	0.0
TUDOR INVESTORS	028	ST	S	11,000	38.38	n/a	n/a	330.00	0.0
CLOVIS CAPITAL	033	SVU	S	75,000	8.27	n/a	n/a	3,750.00	0.0
LATEEF MGMT	033	SWY	S	450	31.82	n/a	n/a	60.00	0.0
Ñ Nilsa Vazquez		TBT	B	15	76.5000	n/a	n/a	0.00	0.0
TYVOR CAPITAL LLC	031	TIF	B	20,000	76.86	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TRW	B	5,000	71.90	n/a	n/a	150.00	0.0
CADIAN CAPITAL	041	TUES	B	15,000	15.47	n/a	n/a	450.00	0.0
PIMCO	084	UAL	B	50,000	31.71	n/a	18-Jun	1,000.00	0.0
PERIMETER	273	WNC	B	24,265	11.76	n/a	n/a	970.60	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	16,350	11.80	n/a	n/a	490.50	0.0
RIDGECREST INV MGMT LLC	028	WY	B	15,000	29.00	n/a	19-Jun	600.00	0.0
SYMPHONY ASSET	033	XLNX	B	3,135	47.17	n/a	n/a	94.05	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	S	10,000	34.00		n/a	n/a	300.00 0.0
TOTAL (Trade Date):								83,821.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/30	DSG CAPITAL (DSGCJEFF)	030	GSVC	B	3,500	14.78	n/a	n/a	175.00	0.0
AO,	09/30	DSG CAPITAL (DSGCJEFF)	030	GSVC	B	3,500	14.78	n/a	n/a	105.00	0.0
AO,CXL	09/25	STERLING CAPITAL MGMT. (STCM7938)	093	KSS	B	125	50.81	n/a	18-Jun	0.00	0.0
AO,	09/25	STERLING CAPITAL MGMT. (STCM7938)	093	KSS	B	125	50.81	n/a	18-Jun	5.63	0.0
AO,CXL	09/25	STERLING CAPITAL MGMT. (STCM7503)	093	KSS	B	75	50.81	n/a	18-Jun	0.00	0.0
AO,	09/25	STERLING CAPITAL MGMT. (STCM7503)	093	KSS	B	75	50.81	n/a	18-Jun	3.38	0.0
AO,	09/30	WINSLOW CAPITAL (WINS174)	030	NKE	B	1,400	72.65	n/a	19-Jun	42.00	0.0
AO,CXL	09/30	WINSLOW CAPITAL (WINS140)	030	NKE	B	1,400	72.65	n/a	19-Jun	42.00	0.0
AO,	09/30	ARDSLEY PARTNERS (ARDSHEMPTR)	280	VNDA	S	20,000	11.11	n/a	n/a	1000.00	0.0
AO,CXL	09/30	ARDSLEY PARTNERS (ARDSGS)	280	VNDA	S	20,000	11.11	n/a	n/a	1000.00	0.0
TOTAL (AO, CXL, CRT) :										-60.99	
TOTAL (Trade Date) :										83,821.97	
TOTAL (AO, CXL, CRT) :										-60.99	
TOTAL (RUN DATE) / NFS :										83,760.98	

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