



Daily Compliance Activity Report

Trade Date: 12/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	7,500	26.07	n/a	n/a	300.00	0.0
PAR CAPITAL	029	AAL	C	100,000	26.01	n/a	n/a	4,000.00	0.0
BADGE CAPITAL	030	ACRE	B	1,000	12.87	n/a	n/a	35.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	AGO	B	3,600	22.73	n/a	n/a	108.00	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	21,100	39.77	n/a	n/a	633.00	0.0
FRED ALGER MGMT	300	AVGO	B	68,970	52.79	n/a	n/a	2,482.92	0.0
CHART WELL ADV	028	AYI	S	700	104.42	n/a	n/a	28.00	0.0
GATOR CAPITAL MGMT LLC	093	BBRG	B	2,300	15.72	n/a	n/a	92.00	0.0
S.A.C. CAPITAL	044	BBY	B	25,000	41.51	n/a	n/a	750.00	0.0
CHART WELL ADV	028	BLMN	B	3,400	23.80	n/a	n/a	136.00	0.0
Jack Chernus		CAM	S	15	57.5000	n/a	n/a	0.00	0.0
WADDELL AND REED	047	CLR	S	29,250	107.07	n/a	n/a	1,170.00	0.0
EPOCH INV MGMT	030	CME	B	77,456	83.02	n/a	28-Apr	2,323.68	0.0
WADDELL AND REED	047	CME	B	29,650	82.63	n/a	28-Apr	1,186.00	0.0
CASTLE ARK	031	C	S	146,440	50.50	n/a	17-Jun	5,857.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	DAL	S	7,000	27.12	n/a	18-Jun	280.00	0.0
CHART WELL ADV	028	DFRG	S	3,000	21.60	n/a	n/a	120.00	0.0
WALL STREET CAPITAL	084	DFRG	B	16,657	22.21	n/a	n/a	749.57	0.0
HIGHBRIDGE CAP	041	DG	B	25,000	59.89	n/a	4-Jun	750.00	0.0
CHART WELL ADV	028	DIOD	B	6,000	22.27	n/a	n/a	240.00	0.0
SANDLER CAPITAL	028	FB	S	115,000	54.03	n/a	n/a	4,600.00	0.0
EPOCH INV MGMT	030	FFBC	B	81,084	16.82	n/a	n/a	2,432.52	0.0
METROPOLITAN CAPITAL	044	FINL	B	5,800	25.48	n/a	19-Jun	290.00	0.0
FOUNDRY PARTNERS LLC	030	FOXA	S	22,400	33.01	n/a	n/a	896.00	0.0
CAERUS GLOBAL	041	F	B	25,000	15.80	n/a	19-Jun	1,000.00	0.0
OZ MGMT	040	F	C	300,000	15.55	n/a	19-Jun	9,000.00	0.0
OZ MGMT	040	F	SS	200,000	15.53	n/a	19-Jun	6,000.00	0.0
ROSEDALE CAPITAL	046	F	B	10,000	15.72	n/a	19-Jun	400.00	0.0
SCOPUS FUND	041	F	SS	75,000	15.78	n/a	19-Jun	3,000.00	0.0
TUDOR INVESTORS	028	F	B	10,000	15.96	n/a	19-Jun	300.00	0.0
WEXFORD CAPITAL	284	F	SS	26,000	15.53	n/a	19-Jun	780.00	0.0
S.A.C. CAPITAL	044	GES	SS	10,000	30.48	n/a	31-May	300.00	0.0
VERITION	028	GE	SS	5,000	27.07	n/a	n/a	150.00	0.0
ROSEDALE CAPITAL	046	GG	B	20,000	21.12	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	GILD	B	11,330	71.06	n/a	n/a	407.88	0.0
DELTEC ASSET MGMT.	040	GM	B	10,000	40.00	n/a	19-Jun	500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	C	15,000	40.30	n/a	19-Jun	450.00	0.0
OZ MGMT	040	GM	B	125,000	40.41	n/a	19-Jun	3,750.00	0.0
SCOPUS FUND	041	GM	B	50,000	40.22	n/a	19-Jun	2,000.00	0.0
TUDOR INVESTORS	028	GM	B	10,000	40.90	n/a	19-Jun	300.00	0.0
WEXFORD CAPITAL	284	GM	B	11,500	40.08	n/a	19-Jun	345.00	0.0
VERITION	028	GNTX	B	7,500	32.83	n/a	19-Jun	225.00	0.0
FORWARD MGMT	033	HMSY	B	7,667	21.24	n/a	n/a	306.68	0.0
AMICI CAPITAL N/C	044	IBN	B	70,000	37.09	n/a	n/a	2,800.00	0.0
S.A.C. CAPITAL	044	IGT	SS	25,000	16.87	n/a	13-Jun	750.00	0.0
FARBER	006	JBLU	S	15,000	8.51	n/a	18-Jun	450.00	0.0
DC CAPITAL	044	JCP	S	100,000	8.20	n/a	18-Jun	4,000.00	0.0
BRONSON POINT	036	KBH	B	100,000	17.66	n/a	n/a	3,000.00	0.0
S.A.C. CAPITAL	044	KORS	B	25,000	83.58	n/a	30-May	750.00	0.0
HIGHBRIDGE CAP	041	KR	SS	38,000	39.99	n/a	n/a	1,140.00	0.0
ACK ASSET	028	LAD	SS	21,300	67.59	n/a	n/a	639.00	0.0
BASSWOOD PARTNERS	267	LEA	S	3,265	79.99	n/a	19-Jun	130.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS	280	LNN	C	5,000	82.70	n/a	n/a	250.00	0.0
BMO / M&I FUNDS	047	MAT	S	15,956	44.67	n/a	n/a	638.24	0.0
CHART WELL ADV	028	MNRO	B	1,200	52.30	n/a	n/a	48.00	0.0
FRED ALGER MGMT	300	MSFT	S	688,690	36.12	n/a	n/a	24,792.84	0.0
CHART WELL ADV	028	MWIV	S	500	166.18	n/a	n/a	20.00	0.0
AMICI CAPITAL N/C	044	NOV	B	50,000	77.47	n/a	n/a	2,000.00	0.0
LOCUST WOOD CAPITAL MGMT	044	NSM	B	26,440	41.95	n/a	n/a	1,057.60	0.0
CHART WELL ADV	028	OXM	S	400	76.13	n/a	n/a	16.00	0.0
CAPITAL WORLD	084	PG	B	353,133	81.00	n/a	17-Jun	12,359.66	0.0
CHART WELL ADV	028	PIR	S	1,750	20.52	n/a	n/a	70.00	0.0
ARDSLEY PARTNERS	280	PNW	SS	10,000	52.92	n/a	n/a	500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RF	B	9,200	9.56	n/a	n/a	276.00	0.0
ARDSLEY PARTNERS	280	RH	C	7,500	65.03	n/a	n/a	375.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	56,000	102.17	n/a	17-Jun	2,240.00	0.0
FORWARD MGMT	033	SAFM	S	6,000	70.55	n/a	n/a	240.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOUNDRY PARTNERS LLC	030	SBUX	S	775	76.46	n/a	17-Jun	31.00	0.0
CHART WELL ADV	028	SPSC	B	2,100	64.18	n/a	n/a	84.00	0.0
OZ MGMT	040	ST	SS	50,000	37.29	n/a	n/a	1,500.00	0.0
ARDSLEY PARTNERS	280	SUNE	B	25,000	11.80	n/a	n/a	1,250.00	0.0
CR INTRINIC INVESTMENT	044	TIF	S	10,000	89.53	n/a	n/a	300.00	0.0
CHART WELL ADV	028	TRNX	S	3,600	17.66	n/a	n/a	144.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TRV	SS	900	87.65	n/a	n/a	27.00	0.0
LEVIN CAPITAL STRATEGIES	041	T	C	21,783	33.86	n/a	n/a	653.49	0.0
FARBER	006	UAL	S	5,200	37.30	n/a	18-Jun	208.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	USB	SS	2,200	39.78	n/a	n/a	66.00	0.0
LEVIN CAPITAL STRATEGIES	041	VZ	C	23,423	47.52	n/a	n/a	702.69	0.0
KAYNE ANDERSON ADV	084	WDFC	S	24,958	73.57	n/a	n/a	998.32	0.0
FRONTFOUR CAPITAL	046	WNC	B	25,000	12.14	n/a	n/a	750.00	0.0
CR INTRINIC INVESTMENT	044	WWW	SS	10,000	32.63	n/a	n/a	300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	S	10,000	30.92	n/a	19-Jun	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	044	WY	S	50,000	30.44	n/a	19-Jun	2,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	12,500	97.42	n/a	n/a	375.00	0.0
TOTAL (Trade Date) :								128,207.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/17	HARVEST MGMT (HARVGSCO)	029	GME	B	10,000	49.08	n/a	n/a	500.00 0.0
AO,	12/17	HARVEST MGMT (HARVGSCO)	029	GME	B	10,000	49.08	n/a	n/a	400.00 0.0
AO,CXL	12/17	TUDOR INVESTORS (TUDRJPM PB)	028	MWV	S	10,000	36.00	n/a	18-Jun	300.00 0.0
AO,	12/17	TUDOR INVESTORS (TUDRJPM PB)	028	MWV	S	3,110	36.00	n/a	18-Jun	93.30 0.0
AO,	12/17	TUDOR INVESTORS (TUDRJPM PB)	028	MWV	S	6,890	36.00	n/a	18-Jun	206.70 0.0
AO,CXL	12/17	WINSLOW CAPITAL (WINS85)	030	PCLN	S	3001,157.20		n/a	n/a	9.00 0.0
AO,	12/17	WINSLOW CAPITAL (WINS85)	030	PCLN	S	3001,157.20		n/a	n/a	9.00 0.0
AO,CXL	12/17	DONALD SMITH (DSMTOHSERS)	088	RCL	S	26,629	44.23	n/a	n/a	399.44 0.0
AO,	12/17	DONALD SMITH (DSMTOHSERS)	088	RCL	S	26,629	44.23	n/a	n/a	798.87 0.0
AO,CXL	11/20	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	VSI	S	1,630	54.73	n/a	n/a	81.50 0.0
AO,	11/20	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	VSI	S	1,630	54.73	n/a	n/a	81.50 0.0

TOTAL (AO, CXL, CRT) :**299.43**

TOTAL (Trade Date) :

128,207.29

TOTAL (AO, CXL, CRT) :

299.43

TOTAL (RUN DATE) / NFS:**128,506.72**

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