



## Daily Compliance Activity Report

Trade Date: 11/06/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
MACELLUM CAPITAL	086	AEO	SS	136,000	14.79	n/a	2-Dec	4,080.00	0.0	
NEUBERGER BERMAN	036	AET	B	25,000	63.26	n/a	n/a	1,000.00	0.0	
SAC CHRIS C	041	ARNA	B	250,000	4.17	n/a	n/a	7,500.00	0.0	
FRED ALGER MGMT	300	AUXL	B	9,935	17.87	n/a	n/a	357.66	0.0	
PRIMECAP MGMT	084	BRKB	S	22,000	114.76	n/a	n/a	880.00	0.0	
MAGNETAR FINANCIAL	031	CBS	B	72,118	59.37	n/a	n/a	3,605.90	0.0	
SAC CHRIS C	041	CBS	B	50,000	59.49	n/a	n/a	1,500.00	0.0	
FIFTH THIRD BANK/FREEMAN	047	CPWR	S	38,259	10.50	n/a	n/a	1,912.95	0.0	
NEUBERGER BERMAN	036	CSX	B	10,000	26.32	n/a	n/a	400.00	0.0	
BALYASNY ASSET MGMT	044	DECK	B	50,000	69.29	n/a	n/a	2,250.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC025		EADSY	B	10,000	18.10		n/a	n/a	400.00	0.0
WOODWAY FINANCIAL	031	EEP	S	75,000	30.06	n/a	n/a	3,750.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC025		EXPD	S	5,000	42.55		n/a	n/a	200.00	0.0
PALISADE CAPITAL MANAGEMENT LLC025		FARM	S	5,000	17.31		n/a	n/a	200.00	0.0
CAMBIAR CAP	046	FDP	S	29,100	26.92	n/a	n/a	1,164.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	FINL	S	100,000	24.75	n/a	19-Jun	4,000.00	0.0
ZWEIG FUNDS	006	F	S	50,000	16.96	n/a	19-Jun	2,500.00	0.0
HERRING CREEK CAPITAL	040	GLW	B	84,000	16.52	n/a	n/a	2,520.00	0.0
CAERUS GLOBAL	041	GM	B	25,000	36.91	n/a	19-Jun	1,250.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	37.26	n/a	19-Jun	450.00	0.0
NEUBERGER BERMAN	036	HTZ	B	25,000	21.65	n/a	n/a	1,000.00	0.0
<b>STERLING CAPITAL MGMT.</b>	<b>093</b>	<b>HTZ</b>	<b>B</b>	<b>132,400</b>	<b>21.67</b>	<b>n/a</b>	<b>n/a</b>	<b>5,958.01</b>	<b>0.0</b>
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	64,500	7.59	n/a	18-Jun	1,935.00	0.0
NEUBERGER BERMAN	036	JPM	B	10,000	52.10	n/a	17-Jun	400.00	0.0
MACELLUM CAPITAL	086	KSS	SS	36,000	58.04	n/a	18-Jun	1,080.00	0.0
SCOPUS FUND	041	LAD	B	17,136	64.81	n/a	n/a	685.44	0.0
LEVIN CAPITAL STRATEGIES	041	LCC	B	10,000	23.15	n/a	18-Jun	300.00	0.0
ADAGE CAPITAL MGMT	030	LTD	B	36,366	62.49	n/a	n/a	1,090.98	0.0
KINGDON ASSET MGMT	041	LTD	S	25,000	62.49	n/a	n/a	1,000.00	0.0
SAC CHRIS C	041	MCK	S	8,685	157.24	n/a	n/a	260.55	0.0
NEUBERGER BERMAN	036	MET	B	20,069	47.77	n/a	n/a	802.76	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	MGI	B	5,000	20.83	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	MIDD	B	6,900	223.40	n/a	n/a	345.00	0.0
SAC CHRIS C	041	NUVA	B	50,000	31.64	n/a	n/a	1,500.00	0.0
WOODWAY FINANCIAL	031	PAA	B	13,000	51.95	n/a	n/a	650.00	0.0
PALISADE CAPITAL MANAGEMENT LLC025		PPSI	B	350	8.40		n/a	n/a	14.00 0.0
HAHN CAPITAL MANAGEMENT	084	PWR	B	200,000	30.29	n/a	n/a	10,000.00	0.0
PALISADE CAPITAL MANAGEMENT LLC025		QLYS	B	5,000	21.76		n/a	n/a	200.00 0.0
WILLIAMS TRADING/NEWBROOK	306	RL	S	41,745	179.89	n/a	24-May	1,669.80	0.0
NEUBERGER BERMAN	036	RRC	B	10,000	74.51	n/a	13-Jun	400.00	0.0
BMO / M&I FUNDS	047	SPLS	S	50,325	16.00		n/a	n/a	2,013.00 0.0
SAC CHRIS C	041	STJ	B	50,000	57.09	n/a	n/a	1,500.00	0.0
TYVOR CAPITAL LLC	031	SWY	B	10,000	34.17	n/a	n/a	300.00	0.0
FIFTH THIRD BANK/FREEMAN	047	XLF	B	6,700	20.60	n/a	n/a	335.00	0.0
FIFTH THIRD BANK/FREEMAN	047	XLK	S	4,100	33.95	n/a	n/a	205.00	0.0
FRONTIER	029	YELP	S	33,510	68.64	n/a	n/a	1,340.40	0.0

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**TOTAL (Trade Date):**

**75,105.45**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/05	BESSEMER INVESTMENT (BESSMAIN)	085	AET	S	1,300	63.02	n/a	n/a	52.00	0.0
AO,	11/05	BESSEMER INVESTMENT (BESS8F0403)	085	AET	S	1,300	63.02	n/a	n/a	52.00	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	AME	B	4,439	47.86	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	AME	B	4,439	47.86	n/a	n/a	133.17	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	AME	B	34	47.86	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	AME	B	34	47.86	n/a	n/a	1.02	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	AMG	B	563	194.45	n/a	2-Mar	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	AMG	B	563	194.45	n/a	2-Mar	16.89	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	AMG	B	5	194.45	n/a	2-Mar	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	AMG	B	5	194.45	n/a	2-Mar	0.15	0.0
AO,	11/05	BESSEMER INVESTMENT (BESS8F0403)	085	APC	S	30,000	92.68	n/a	13-Jun	1200.00	0.0
AO,CXL	11/05	BESSEMER INVESTMENT (BESSMAIN)	085	APC	S	30,000	92.68	n/a	13-Jun	1200.00	0.0
AO,CXL	11/05	FIFTH THIRD BANK/FREEMAN (FTCL)	047	BAC	B	7,500	13.95	n/a	17-Jun	375.00	0.0
AO,	11/05	FIFTH THIRD BANK/FREEMAN (FTCL)	047	BAC	B	7,500	13.95	n/a	17-Jun	300.00	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	CBL	S	5,634	19.44	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	CBL	S	5,634	19.44	n/a	n/a	169.02	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	CBL	S	37	19.44	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	CBL	S	37	19.44	n/a	n/a	1.11	0.0
AO,	11/05	COLUMBUS CIRCLE (COLC3040)	036	FANG	B	5,200	56.50	n/a	n/a	208.00	0.0
AO,CXL	11/04	SYMPHONY ASSET (SYMPIMFBRA)	033	FBHS	B	3,760	42.72	n/a	n/a	112.80	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/04	SYMPHONY ASSET (SYMPIMFBRA)	033	FBHS	B	4,670	42.72	n/a	n/a	140.10	0.0
AO,CXL	11/04	SYMPHONY ASSET (SYMPBRAVUR)	033	FBHS	B	910	42.72	n/a	n/a	27.30	0.0
AO,CXL	11/04	SYMPHONY ASSET (SYMPNUVLGG)	033	FBHS	B	195	42.72	n/a	n/a	5.85	0.0
AO,CXL	11/04	SYMPHONY ASSET (SYMPNUVOPL)	033	FBHS	B	17,250	42.72	n/a	n/a	517.50	0.0
AO,	11/04	SYMPHONY ASSET (SYMPJPM)	033	FBHS	B	26,785	42.72	n/a	n/a	803.55	0.0
AO,CXL	11/05	FIFTH THIRD BANK/FREEMAN (FTCL)	047	FTI	B	6,000	49.89	n/a	n/a	300.00	0.0
AO,	11/05	FIFTH THIRD BANK/FREEMAN (FTCL)	047	FTI	B	6,000	49.89	n/a	n/a	240.00	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	IVZ	S	7,460	32.78	n/a	2-Mar	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	IVZ	S	7,460	32.78	n/a	2-Mar	223.80	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	IVZ	S	54	32.78	n/a	2-Mar	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	IVZ	S	54	32.78	n/a	2-Mar	1.62	0.0
AO,CXL	11/05	JSRG CAPITAL PARTNERS LP (JSRGJPM)	084	LCC	B	10,000	22.50	n/a	18-Jun	500.00	0.0
AO,CRT	11/05	JSRG CAPITAL PARTNERS LP (JSRGJPM)	084	LCC	B	10,000	22.50	n/a	18-Jun	300.00	3.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	NSM	B	3,577	50.27	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	NSM	B	3,577	50.27	n/a	n/a	107.31	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	NSM	B	28	50.27	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	NSM	B	28	50.27	n/a	n/a	0.84	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	PFG	B	5,696	47.70	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	PFG	B	5,696	47.70	n/a	n/a	170.88	0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	PFG	B	44	47.70	n/a	n/a	0.00	0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	PFG	B	44	47.70	n/a	n/a	1.32	0.0
AO,CXL	11/01	SHEFFIELD ASSET MGMT (SHEFJPM)	031	RKT	B	37,500	107.21	n/a	17-Jun	1500.00	0.0
AO,CRT	11/01	SHEFFIELD ASSET MGMT (SHEFJPM)	031	RKT	B	37,500	107.21	n/a	17-Jun	1875.00	5.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	SKT	S	2,584	34.27	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/05	SYMPHONY ASSET (SYMPNUVOPM)	033	SKT	S	2,584	34.27	n/a	n/a	77.52 0.0
AO,CXL	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	SKT	S	19	34.27	n/a	n/a	0.00 0.0
AO,	11/05	SYMPHONY ASSET (SYMPNUVMDC)	033	SKT	S	19	34.27	n/a	n/a	0.57 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,153.22</b>

TOTAL (Trade Date) :	75,105.45
TOTAL (AO, CXL, CRT) :	1,153.22

<b>TOTAL (RUN DATE) / NFS :</b>	<b>76,258.67</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