



## Daily Compliance Activity Report

Trade Date: 11/22/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	AA	C	400,000	9.22	n/a	n/a	12,000.00	0.0
MACELLUM CAPITAL	086	ANF	B	63,000	33.74	n/a	n/a	1,890.00	0.0
BMO / M&I FUNDS	086	ARO	B	12,900	10.29	n/a	n/a	516.00	0.0
FOUNDRY PARTNERS LLC	030	BAC	B	4,100	15.71	n/a	17-Jun	164.00	0.0
UNITED STATES PENSION	085	BA	S	36,508	136.00	n/a	11-Jun	1,460.32	0.0
MERRILL ASSET/BLACKROCK	085	BRKB	B	23,707	117.16	n/a	n/a	948.28	0.0
KAM ADVISORS LLC	041	CAT	C	30,000	82.61	n/a	11-Jul	900.00	0.0
LATEEF MGMT	033	CMCSK	S	200	47.33	n/a	n/a	40.00	0.0
CADIAN CAPITAL	041	CMG	B	2,000	537.75	n/a	3-Jun	60.00	0.0
FRED ALGER MGMT	300	C	S	925	52.16	n/a	17-Jun	33.30	0.0
FIRST INV MGMT CO	006	DVN	B	9,200	62.60	n/a	13-Jun	460.00	0.0
FOUNDRY PARTNERS LLC	030	EL	B	14,565	74.90	n/a	17-Jun	582.60	0.0
LATEEF MGMT	033	ENR	S	150	109.20	n/a	17-Jun	36.00	0.0
KENNEDY CAPITAL	046	FINL	B	40,000	26.61	n/a	19-Jun	1,600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	FL	B	126,000	38.47	n/a	19-Jun	3,780.00	0.0
METROPOLITAN CAPITAL	044	FL	S	18,503	38.43	n/a	19-Jun	925.15	0.0
ROARING BLUE LION MGMT	031	FL	S	14,200	38.26	n/a	19-Jun	568.00	0.0
FORTRESS INVESTMENT (US)	036	FXI	B	100,000	39.90	n/a	n/a	3,000.00	0.0
SUFFOLK CAPITAL MGMT	040	GEOS	B	700	96.47	n/a	n/a	28.00	0.0
LATEEF MGMT	033	GE	S	500	27.02	n/a	n/a	50.00	0.0
CAERUS GLOBAL	041	GM	B	9,165	37.96	n/a	19-Jun	366.60	0.0
FRED ALGER MGMT	300	GM	B	159,400	38.01	n/a	19-Jun	5,738.40	0.0
MOORE CAPITAL	257	GM	B	25,000	37.90	n/a	19-Jun	750.00	0.0
PIMCO	084	GM	B	80,000	38.39	n/a	19-Jun	1,600.00	0.0
SUFFOLK CAPITAL MGMT	040	GM	B	70,100	38.23	n/a	19-Jun	2,804.00	0.0
MERRILL ASSET/BLACKROCK	085	HCN	S	5,009	58.41	n/a	n/a	200.36	0.0
NOKOMIS PARTNERS	031	HCOM	S	7,000	29.61	n/a	n/a	210.00	0.0
MERRILL ASSET/BLACKROCK	085	HCP	B	4,027	38.66	n/a	n/a	161.08	0.0
FRED ALGER MGMT	300	IDIX	S	79,318	4.73	n/a	n/a	2,379.54	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ININ	S	12,553	64.10	n/a	n/a	251.06 0.0
S.A.C. CAPITAL	044	IP	SS	60,000	46.72	n/a	17-Jun	1,800.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			JACK	S	17,695	48.30	n/a	n/a	353.90 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JBLU	B	25,000	9.14	n/a	18-Jun	1,250.00	0.0
LATEEF MGMT	033	JCI	S	450	50.46	n/a	10-Jun	45.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		JLL	S	9,746	97.77	n/a	n/a	194.92	0.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	57.43	n/a	17-Jun	2,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		KERX	S	94,292	12.79	n/a	n/a	1,885.84	0.0
KORTRIGHT CAPITAL PARTNERS025		LPX	B	100,000	16.02	n/a	19-Jun	3,000.00	0.0
PENNANT CAP MGMT	250	MDP	B	50,000	52.63	n/a	n/a	1,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MINI	S	25,022	40.01	n/a	n/a	500.44	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MKTG	S	64,186	16.17	n/a	n/a	1,283.72	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MMS	S	17,609	45.79	n/a	n/a	352.18	0.0
EATON VANCE MGMT	029	MRK	B	110,000	48.96	n/a	n/a	3,300.00	0.0
NOKOMIS PARTNERS	031	NTLS	SS	30,383	21.06	n/a	n/a	911.49	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		OAS	S	13,859	48.11	n/a	n/a	277.18	0.0
ARDSLEY PARTNERS	280	ODP	B	50,000	5.21	n/a	n/a	1,500.00	0.0
MERRILL ASSET/BLACKROCK	085	ONB	B	30,900	15.51	n/a	n/a	1,236.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OSIS	S	13,880	75.13	n/a	n/a	277.60	0.0
CADIAN CAPITAL	041	PNRA	S	5,500	179.80	n/a	10-Jun	165.00	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PRIM	S	26,920	27.89	n/a	n/a	538.40	0.0
FRED ALGER MGMT	300	PTLA	S	51,200	23.74	n/a	n/a	1,843.20	0.0	
BASSWOOD PARTNERS	267	RDC	B	8,859	35.71	n/a	n/a	354.36	0.0	
SUFFOLK CAPITAL MGMT	040	RL	B	7,400	173.00	n/a	24-May	296.00	0.0	
MACELLUM CAPITAL	086	ROST	SS	32,064	74.41	n/a	18-Jun	961.92	0.0	
MERRILL ASSET/BLACKROCK	085	SBY	B	6,500	16.04	n/a	n/a	260.00	0.0	
INTERVAL PARTNERS	033	SGMS	B	20,000	17.51	n/a	n/a	600.00	0.0	
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	50,000	15.51	n/a	n/a	1,500.00	0.0	
IMPALA ASSET MMT	040	SPY	B	133,008	180.62	n/a	n/a	6,650.40	0.0	
JETSTREAM GLOBAL FUND LP	065	SPY	S	108,500	180.38	n/a	n/a	5,425.00	0.0	
FRED ALGER MGMT	300	THOR	S	17,346	41.74	n/a	n/a	624.46	0.0	
PENNANT CAP MGMT	250	VPRT	B	26,000	57.05	n/a	n/a	780.00	0.0	
LOMAS CAPITAL	040	WEN	SS	85,000	8.67	n/a	20-May	2,550.00	0.0	
MADISON ST PARTNERS LLC	046	WFC	S	12,500	44.31	n/a	6-Jun	625.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	B	125,000	79.78	n/a	16-May	3,750.00	0.0
CSL ASSOCIATES	006	WNC	B	10,000	11.60	n/a	n/a	400.00	0.0
INTERVAL PARTNERS	033	WSM	C	11,600	59.18	n/a	n/a	348.00	0.0
<b>TOTAL (Trade Date):</b>								<b>93,342.70</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/21	CAERUS GLOBAL (CAERJPMCNS)	041	GM	S	62	39.00	n/a	19-Jun	2.48 0.0
AO,CXL	11/21	CAERUS GLOBAL (CAERGSMAN)	041	GM	S	400	39.00	n/a	19-Jun	16.00 0.0
AO,	11/21	CAERUS GLOBAL (CAERGSMAN)	041	GM	S	338	39.00	n/a	19-Jun	13.52 0.0
AO,CXL	11/21	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	7.93	n/a	n/a	1000.00 0.0
AO,	11/21	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	7.93	n/a	n/a	800.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>

TOTAL (Trade Date) :	93,342.70
TOTAL (AO, CXL, CRT) :	-200.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>93,142.70</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