

Daily Compliance Activity Report Trade Date: 10/15/2013

${\bf POTENTIAL\ ANALYST\ TRADE\ VIOLATIONS:0}$

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
FRED ALGER MGMT	300	AAPL	В	3,200	501.21	n/a	n/a	115.20	0.0
S.A.C. CAPITAL	044	ACOR	SS	39,456	32.16	n/a	n/a	1,183.68	0.0
FRED ALGER MGMT	300	ACT	В	4,195	141.28	n/a	19-Jun	151.02	0.0
S.A.C. CAPITAL	044	ANGI	В	100,000	15.30	n/a	n/a	3,000.00	0.0
ARCHON CAPITAL	033	ARNA	В	184,800	4.62	n/a	n/a	5,544.00	0.0
INTERVAL PARTNERS	033	ASNA	SS	30,000	19.50	n/a	n/a	900.00	0.0
COHE & STEERS	041	BEE	В	24,650	8.75	n/a	n/a	493.00	0.0
TUDOR INVESTORS	028	CCK	В	5,000	41.27	n/a	n/a	150.00	0.0
FRED ALGER MGMT	300	CMCSA	В	13,645	46.50	n/a	n/a	491.22	0.0
FRED ALGER MGMT	300	CRM	В	6 , 070	50.79	n/a	n/a	218.52	0.0
PROSPECTOR PARTNERS LLC	036	CSCO	В	8,400	23.25	n/a	26-Feb	336.00	0.0
FRED ALGER MGMT	300	DLPH	В	7,070	56.90	n/a	n/a	254.52	0.0
CAMBIAR CAP	046	DRI	S	350,000	51.08	n/a	17-Jun	14,000.00	0.0
SURVEYOR CAPITAL	251	DRI	В	50,000	51.00	n/a	17-Jun	2,000.00	0.0
FRED ALGER MGMT	300	EBAY	В	10,100	54.06	n/a	n/a	363.60	0.0

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CADIAN CAPITAL	041	GPC	С	13,000	78.84	n/a	n/a	390.00	0.0
TIDE POINT CAPITAL	028	GT	S	15,000	22.66	n/a	n/a	450.00	0.0
NOKOMIS PARTNERS	031	НСОМ	S	3 , 850	27.12	n/a	n/a	115.50	0.0
FRED ALGER MGMT	300	HON	В	5 , 760	85.18	n/a	19-Apr	207.36	0.0
FRED ALGER MGMT	300	HXL	S	28 , 790	39.53	n/a	22-Apr	1,036.44	0.0
TUDOR INVESTORS	028	IYR	SS	10,000	65.27	n/a	n/a	300.00	0.0
ROVER CAPITAL PARTNERS	040	JCP	В	8 , 500	7.37	n/a	18-Jun	255.00	0.0
SCOPUS FUND	041	KS	В	10,000	46.31	n/a	n/a	400.00	0.0
PAR CAPITAL	029	LCC	С	50,000	20.63	n/a	18-Jun	2,000.00	0.0
FRED ALGER MGMT	300	LVS	В	7,015	69.23	n/a	13-Jun	252.54	0.0
MERRILL ASSET/BLACKROCK	085	MA	S	1,000	683.75	n/a	13-Jun	40.00	0.0
MATRIX ASSET ADV.	091	MCD	В	3,500	93.73	n/a	17-Jun	140.00	0.0
PROSPECTOR PARTNERS LLC	036	MDLZ	В	7,900	30.54	n/a	n/a	316.00	0.0
PROSPECTOR PARTNERS LLC	036	PEP	В	8,800	80.78	n/a	n/a	352.00	0.0
CHARTERBRIDGE CAPITAL	025	PGTI	В	2,729	9.73	n/a	n/a	81.87	0.0
	CADIAN CAPITAL TIDE POINT CAPITAL NOKOMIS PARTNERS FRED ALGER MGMT TUDOR INVESTORS ROVER CAPITAL PARTNERS SCOPUS FUND PAR CAPITAL FRED ALGER MGMT MERRILL ASSET/BLACKROCK MATRIX ASSET ADV. PROSPECTOR PARTNERS LLC	CADIAN CAPITAL 041 TIDE POINT CAPITAL 028 NOKOMIS PARTNERS 031 FRED ALGER MGMT 300 FRED ALGER MGMT 300 TUDOR INVESTORS 028 ROVER CAPITAL PARTNERS 040 SCOPUS FUND 041 PAR CAPITAL 029 FRED ALGER MGMT 300 MERRILL ASSET/BLACKROCK 085 MATRIX ASSET ADV. 091 PROSPECTOR PARTNERS LLC 036	CADIAN CAPITAL 041 GPC TIDE POINT CAPITAL 028 GT NOKOMIS PARTNERS 031 HCOM FRED ALGER MGMT 300 HON FRED ALGER MGMT 300 HXL TUDOR INVESTORS 028 IYR ROVER CAPITAL PARTNERS 040 JCP SCOPUS FUND 041 KS PAR CAPITAL 029 LCC FRED ALGER MGMT 300 LVS MERRILL ASSET/BLACKROCK 085 MA MATRIX ASSET ADV. 091 MCD PROSPECTOR PARTNERS LLC 036 MDLZ PROSPECTOR PARTNERS LLC 036 PEP	CADIAN CAPITAL TIDE POINT CAPITAL NOKOMIS PARTNERS 031 HCOM S FRED ALGER MGMT 300 HON FRED ALGER MGMT 300 HXL S TUDOR INVESTORS 028 IYR SS ROVER CAPITAL PARTNERS 040 JCP B SCOPUS FUND 041 KS B PAR CAPITAL 029 LCC FRED ALGER MGMT 300 LVS B MATRIX ASSET ADV. 091 MCD B PROSPECTOR PARTNERS LLC 036 MDLZ B PROSPECTOR PARTNERS LLC 036 PEP B	CADIAN CAPITAL 041 GPC C 13,000 TIDE POINT CAPITAL 028 GT S 15,000 NOKOMIS PARTNERS 031 HCOM S 3,850 FRED ALGER MGMT 300 HON B 5,760 FRED ALGER MGMT 300 HXL S 28,790 TUDOR INVESTORS 028 IYR SS 10,000 ROVER CAPITAL PARTNERS 040 JCP B 8,500 SCOPUS FUND 041 KS B 10,000 PAR CAPITAL 029 LCC C 50,000 FRED ALGER MGMT 300 LVS B 7,015 MERRILL ASSET/BLACKROCK 085 MA S 1,000 MATRIX ASSET ADV. 091 MCD B 3,500 PROSPECTOR PARTNERS LLC 036 MDLZ B 7,900 PROSPECTOR PARTNERS LLC 036 PEP B 8,800	CADIAN CAPITAL 041 GPC C 13,000 78.84 TIDE POINT CAPITAL 028 GT S 15,000 22.66 NOKOMIS PARTNERS 031 HCOM S 3,850 27.12 FRED ALGER MGMT 300 HON B 5,760 85.18 FRED ALGER MGMT 300 HXL S 28,790 39.53 TUDOR INVESTORS 028 IYR SS 10,000 65.27 ROVER CAPITAL PARTNERS 040 JCP B 8,500 7.37 SCOPUS FUND 041 KS B 10,000 46.31 PAR CAPITAL 029 LCC C 50,000 20.63 FRED ALGER MGMT 300 LVS B 7,015 69.23 MERRILL ASSET/BLACKROCK 085 MA S 1,000 683.75 MATRIX ASSET ADV. 091 MCD B 3,500 93.73 PROSPECTOR PARTNERS LLC 036 MDLZ B 7,900 30.54 PROSPECTOR PARTNERS LLC 036 PEP B 8,800 80.78	CADIAN CAPITAL 041 GPC C 13,000 78.84 n/a TIDE POINT CAPITAL 028 GT S 15,000 22.66 n/a NOKOMIS PARTNERS 031 HCOM S 3,850 27.12 n/a FRED ALGER MGMT 300 HON B 5,760 85.18 n/a FRED ALGER MGMT 300 HXL S 28,790 39.53 n/a TUDOR INVESTORS 028 IYR SS 10,000 65.27 n/a ROVER CAPITAL PARTNERS 040 JCP B 8,500 7.37 n/a SCOPUS FUND 041 KS B 10,000 46.31 n/a FAR CAPITAL 029 LCC C 50,000 20.63 n/a FRED ALGER MGMT 300 LVS B 7,015 69.23 n/a MATRIX ASSET ADV. 091 MCD B 3,500 93.73 n/a PROSPECTOR PARTNERS LLC 036 MDLZ B 7,900 30.54 n/a PROSPECTOR PARTNERS LLC 036 PEP B 8,800 80.78 n/a	CADIAN CAPITAL 041 GPC C 13,000 78.84 n/a n/a TIDE POINT CAPITAL 028 GT S 15,000 22.66 n/a n/a NOKOMIS PARTNERS 031 HCOM S 3,850 27.12 n/a n/a FRED ALGER MGMT 300 HON B 5,760 85.18 n/a 19-Apr FRED ALGER MGMT 300 HXL S 28,790 39.53 n/a 22-Apr TUDOR INVESTORS 028 TYR SS 10,000 65.27 n/a n/a ROVER CAPITAL PARTNERS 040 JCP B 8,500 7.37 n/a 18-Jun SCOPUS FUND 041 KS B 10,000 46.31 n/a n/a PAR CAPITAL 029 LCC C 50,000 20.63 n/a 18-Jun FRED ALGER MGMT 300 LVS B 7,015 69.23 n/a 13-Jun MATRIX ASSET ADV. 091 MCD B 3,500 93.73 n/a 13-Jun PROSPECTOR PARTNERS LLC 036 MDLZ B 7,900 30.54 n/a n/a PROSPECTOR PARTNERS LLC 036 PEP B 8,800 80.78 n/a n/a	CADIAN CAPITAL 041 GPC C 13,000 78.84 n/a n/a 390.00 TIDE POINT CAPITAL 028 GT S 15,000 22.66 n/a n/a n/a 450.00 NOKOMIS PARTNERS 031 HCOM S 3,850 27.12 n/a n/a 115.50 FRED ALGER MGMT 300 HON B 5,760 85.18 n/a 19-Apr 207.36 FRED ALGER MGMT 300 HXL S 28,790 39.53 n/a 22-Apr 1,036.44 TUDOR INVESTORS 028 IYR SS 10,000 65.27 n/a n/a 18-Jun 255.00 ROVER CAPITAL PARTNERS 040 JCP B 8,500 7.37 n/a 18-Jun 255.00 SCOFUS FUND 041 KS B 10,000 46.31 n/a 18-Jun 255.00 PAR CAPITAL 029 LCC C 50,000 20.63 n/a 18-Jun 2,000.00 FRED ALGER MGMT 300 LVS B 7,015 69.23 n/a 13-Jun 40.00 MATRIX ASSET ADV. 091 MCD B 3,500 93.73 n/a 13-Jun 40.00 PROSPECTOR PARTNERS LLC 036 MDLZ B 7,900 30.54 n/a 17-Jun 140.00 PROSPECTOR PARTNERS LLC 036 PEP B 8,800 80.78 n/a 17-Jun 352.00

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
	FRED ALGER MGMT	300	PG	В	2,605	77.54	n/a	17-Jun	93.78	0.0
	CSFB GLOBAL PROPRIETARY	041	PKG	В	30,000	58.43	n/a	17-Jun	1,500.00	0.0
	FORTRESS INVESTMENT (US)	036	PNR	SS	31,000	64.82	n/a	n/a	620.00	0.0
	SIMMONS VENTURES	041	PSUN	В	40,000	2.87	n/a	n/a	2,000.00	0.0
	FRED ALGER MGMT	300	PVH	В	4 , 555	118.71	n/a	14-Jun	163.98	0.0
	CSFB GLOBAL PROPRIETARY	041	RKT	SS	15,000	106.66	n/a	17-Jun	750.00	0.0
	ADAGE CAPITAL MGMT	030	TEN	S	50,000	51.70	n/a	n/a	1,500.00	0.0
	FRED ALGER MGMT	300	TEN	В	44,796	51.64	n/a	n/a	1,612.66	0.0
	SYMPHONY ASSET	033	TMUS	В	7 , 220	26.44	n/a	n/a	216.60	0.0
õ	Nilsa Vazquez		TMV	В	500	70.4350	n/a	n/a	0.00	0.0
	TUDOR INVESTORS	028	TRW	S	10,000	74.89	n/a	n/a	300.00	0.0
	WOOSTER CAPITAL	044	TRW	S	20,000	74.45	n/a	n/a	1,000.00	0.0
	CALA	041	URBN	В	135,000	35.84	n/a	n/a	4,050.00	0.0
	FRED ALGER MGMT	300	VAL	В	6 , 055	66.36	n/a	n/a	217.98	0.0
	FRED ALGER MGMT	300	VZ	S	49,075	46.69	n/a	n/a	1,766.70	0.0
	FRED ALGER MGMT	300	WCC	S	36,000	74.55	n/a	n/a	1,296.00	0.0

Account	RR #	Symbol	B/S	Sh	nares I	Price		MRI I	Research	Co	mm.¢/Shr.	
SYMPHONY ASSET	033	WHR	В	4,	520 131	1.22		n/a	n/a	135.	60 0.0	
ROXBURY CAPITAL (HOOD RIV	ER CAP)	033 W	100F E	В	50,0	000	27.67		n/a	n/a	1,500.00	0.0

TOTAL (Trade Date): 54,260.77

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	10/14	ADAGE CAPITAL MGMT (ADAGGS)	030	DRC	В	496	61.80	n/a	n/a	14.88	0.0
AO, CRT	10/14	ADAGE CAPITAL MGMT (ADAGMS)	030	DRC	В	496	61.80	n/a	n/a	14.88	0.0
AO,CXL	10/14	TIDE POINT CAPITAL (TIDEGS)	028	LEA	В	10,000	73.28	n/a	19-Jun	500.00	0.0
AO,	10/14	TIDE POINT CAPITAL (TIDEGS)	028	LEA	В	10,000	73.28	n/a	19-Jun	300.00	0.0
AO,CXL	10/14	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	PRU	В	21,000	80.27	n/a	n/a	630.00	0.0
AO,CRT	10/14	IONIC CAPITAL MANAGEMENT (IONICS)	041	PRU	В	21,000	80.27	n/a	n/a	630.00	0.0
TOTAL	TOTAL (AO, CXL, CRT): -200.00										

TOTAL (RUN DATE) / NFS:	54,060.77
TOTAL (AO, CXL, CRT):	-200.00
TOTAL (Trade Date):	54,260.77

Legend:

O: 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