



## Daily Compliance Activity Report

Trade Date: 02/13/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	S	8,100	34.39	n/a	n/a	324.00	0.0
J. GOLDMAN	028	AEO	B	800	13.35	n/a	n/a	32.00	0.0
FRED ALGER MGMT	300	ALNY	S	55	80.86	n/a	n/a	1.98	0.0
PRIMECAP MGMT	084	AMGN	S	10,000	123.58	n/a	n/a	400.00	0.0
FRED ALGER MGMT	300	ANN	S	375	33.27	n/a	n/a	13.50	0.0
FRED ALGER MGMT	300	ANSS	S	155	82.03	n/a	n/a	5.58	0.0
KLEINHEINZ CAP PART	031	AN	S	40,000	50.86	n/a	n/a	2,000.00	0.0
FRED ALGER MGMT	300	AOL	S	325	44.59	n/a	n/a	11.70	0.0
FRED ALGER MGMT	300	ATHN	S	125	183.99	n/a	n/a	4.50	0.0
EPOCH INV MGMT	030	BGS	B	148,382	28.38	n/a	n/a	4,451.46	0.0
J. GOLDMAN	028	BJRI	C	12,500	28.77	n/a	n/a	500.00	0.0
CHARTERBRIDGE CAPITAL	025	CAB	B	63,999	61.89	n/a	n/a	1,919.97	0.0
ROVER CAPITAL PARTNERS	040	CAB	B	1,500	60.55	n/a	n/a	60.00	0.0
COUGAR TRADING	044	CAKE	B	8,000	45.51	n/a	n/a	400.00	0.0
J. GOLDMAN	028	CAKE	S	20,000	45.41	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TWIN CAPITAL	041	CMCSA	B	10,000	53.60	n/a	n/a	300.00	0.0
EPOCH INV MGMT	030	CNW	S	38,790	38.04	n/a	n/a	1,163.70	0.0
FARBER	006	DAL	S	4,800	31.11	n/a	n/a	192.00	0.0
FOUNDRY PARTNERS LLC	030	DAL	S	2,175	30.88	n/a	n/a	87.00	0.0
FARBER	006	DKS	S	6,000	51.50	n/a	n/a	240.00	0.0
TIDE POINT CAPITAL	028	DLPH	B	15,000	64.33	n/a	n/a	450.00	0.0
1798 CAP/LOMBARD ASSET	040	GM	B	100,000	34.94	n/a	n/a	5,000.00	0.0
WOOSTER CAPITAL	044	GM	B	50,000	35.15	n/a	n/a	2,500.00	0.0
FRED ALGER MGMT	300	GNC	S	25,090	51.84	n/a	n/a	903.24	0.0
FRED ALGER MGMT	300	HUBB	S	245	119.98	n/a	n/a	8.82	0.0
TIDE POINT CAPITAL	028	LEA	B	5,000	76.79	n/a	n/a	150.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	17.85	n/a	n/a	5,000.00	0.0
TIDE POINT CAPITAL	028	MGA	B	5,000	87.48	n/a	n/a	150.00	0.0
ADAGE CAPITAL MGMT	310	NLSN	SS	50,000	44.63	n/a	n/a	1,500.00	0.0
KEY ASSET MGMT/VICTORY	220	NLSN	B	126,392	44.78	n/a	n/a	5,055.68	0.0
PRIMECAP MGMT	084	NVS	S	3,000	81.95	n/a	n/a	120.00	0.0
FRED ALGER MGMT	300	PINC	S	255	34.20	n/a	n/a	9.18	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROVER CAPITAL PARTNERS	040	QQQ	SS	1,000	89.38	n/a	n/a	40.00	0.0
PLATTE RIVER CAPITAL	046	RAX	S	5,000	32.33	n/a	n/a	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	10,000	108.43	n/a	n/a	300.00	0.0
NEUBERGER BERMAN	036	ROG	B	4,100	57.90	n/a	n/a	164.00	0.0
FRED ALGER MGMT	300	SKT	S	380	33.81	n/a	n/a	13.68	0.0
MOORE CAPITAL	257	SPY	B	50,000	182.41	n/a	n/a	1,500.00	0.0
ROVER CAPITAL PARTNERS	040	SPY	SS	1,000	182.39	n/a	n/a	40.00	0.0
TWO OCEAN CAPITAL	084	SSI	B	28,500	18.98	n/a	n/a	1,140.00	0.0
FRED ALGER MGMT	300	SSYS	S	240	118.21	n/a	n/a	8.64	0.0
FRED ALGER MGMT	300	SWFT	S	450	23.36	n/a	n/a	16.20	0.0
FRED ALGER MGMT	300	TDG	S	60	174.61	n/a	n/a	2.16	0.0
FRED ALGER MGMT	300	THOR	S	195	36.04	n/a	n/a	7.02	0.0
MSF CAPITAL (ENTRUST)	040	THO	B	17,620	52.44	n/a	n/a	881.00	0.0
FRED ALGER MGMT	300	TMHC	S	830	23.07	n/a	n/a	29.88	0.0
BMO / M&I FUNDS	047	TPH	B	15,556	16.89	n/a	n/a	622.24	0.0
WOOSTER CAPITAL	044	TRW	S	10,000	75.82	n/a	n/a	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	TSS	S	680	29.45	n/a	n/a	24.48	0.0
T. ROWE PRICE	243	TXI	S	10,500	80.04	n/a	n/a	420.00	0.0
FRED ALGER MGMT	300	ULTI	S	80	162.75	n/a	n/a	2.88	0.0
NOKOMIS PARTNERS	031	USO	B	25,000	35.89	n/a	n/a	750.00	0.0
DAVIDSON KEMPNER ADVISOR	281	VFC	SS	12,500	59.94	n/a	n/a	625.00	0.0
FRED ALGER MGMT	300	WMGI	S	530	31.05	n/a	n/a	19.08	0.0
FRONTFOUR CAPITAL	046	WNC	S	10,000	12.82	n/a	n/a	300.00	0.0
NEW VERNON/SF INVESTMENTS	031	WNC	B	60,000	12.91	n/a	n/a	1,800.00	0.0
DAVIDSON KEMPNER ADVISOR	281	WSM	B	25,000	55.13	n/a	n/a	1,250.00	0.0
KING STREET CAPITAL	086	ZNGA	S	100,000	4.70	n/a	n/a	3,000.00	0.0
<b>TOTAL (Trade Date):</b>								<b>47,410.57</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									47,410.57
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									47,410.57

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