



Daily Compliance Activity Report

Trade Date: 01/02/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|------------|--------------|------------|------------|--------------|------------|
| MATRIX ASSET ADV. | 091 | ADM | S | 800 | 43.10 | n/a | n/a | 32.00 | 0.0 |
| FRED ALGER MGMT | 300 | CTRL | B | 1,600 | 18.21 | n/a | n/a | 57.60 | 0.0 |
| FRED ALGER MGMT | 300 | CVLT | B | 1,200 | 74.08 | n/a | n/a | 43.20 | 0.0 |
| FRED ALGER MGMT | 300 | CYT | B | 900 | 91.95 | n/a | n/a | 32.40 | 0.0 |
| BASSWOOD PARTNERS | 267 | C | B | 35,218 | 51.94 | n/a | 17-Jun | 1,408.72 | 0.0 |
| FRONTFOUR CAPITAL | 046 | DAN | SS | 25,000 | 19.26 | n/a | 19-Jun | 750.00 | 0.0 |
| MATRIX ASSET ADV. | 091 | DD | B | 500 | 64.04 | n/a | n/a | 20.00 | 0.0 |
| FRED ALGER MGMT | 300 | DFT | B | 3,400 | 24.24 | n/a | n/a | 122.40 | 0.0 |
| CADIAN CAPITAL | 041 | DSW | S | 30,000 | 43.03 | n/a | 11-Feb | 900.00 | 0.0 |
| PRIMECAP MGMT | 084 | EXPD | S | 1,000 | 44.06 | n/a | n/a | 40.00 | 0.0 |
| SHEFFIELD ASSET MGMT | 031 | FDO | B | 33,000 | 65.86 | n/a | 4-Jun | 1,320.00 | 0.0 |
| SCOPUS FUND | 041 | FOXA | B | 25,000 | 35.66 | n/a | n/a | 1,000.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | F | SS | 50,000 | 15.29 | n/a | 19-Jun | 1,500.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | GM | B | 24,000 | 40.55 | n/a | 19-Jun | 1,200.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| GAMCO ASSET MNGMT | 025 | GM | B | 7,400 | 40.48 | n/a | 19-Jun | 222.00 | 0.0 |
| PCO CAPITAL MGMT. | 084 | GM | B | 10,000 | 40.68 | n/a | 19-Jun | 300.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | GPN | B | 3,077 | 65.25 | n/a | n/a | 123.08 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | HPQ | B | 142,810 | 27.53 | n/a | n/a | 7,140.50 | 0.0 |
| FRED ALGER MGMT | 300 | ISIL | B | 5,300 | 11.01 | n/a | n/a | 190.80 | 0.0 |
| FRED ALGER MGMT | 300 | ISIS | B | 1,300 | 39.38 | n/a | n/a | 46.80 | 0.0 |
| WAGONHOUND/NICOLAS | 033 | JBLU | B | 80,021 | 8.69 | n/a | 18-Jun | 2,400.63 | 0.0 |
| FRED ALGER MGMT | 300 | JLL | B | 1,000 | 102.05 | n/a | n/a | 36.00 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | LNG | S | 50,000 | 43.24 | n/a | n/a | 1,500.00 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | MGM | B | 50,000 | 23.60 | n/a | 13-Jun | 1,500.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | MNST | B | 12,500 | 66.87 | n/a | n/a | 625.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | NUAN | B | 10,000 | 15.13 | n/a | n/a | 400.00 | 0.0 |
| FRED ALGER MGMT | 300 | NXST | B | 2,100 | 55.26 | n/a | n/a | 75.60 | 0.0 |
| FRED ALGER MGMT | 300 | OPEN | B | 1,100 | 78.48 | n/a | n/a | 39.60 | 0.0 |
| TYVOR CAPITAL LLC | 031 | PETM | B | 30,000 | 72.28 | n/a | n/a | 900.00 | 0.0 |
| SCOPUS FUND | 041 | POT | B | 10,000 | 33.13 | n/a | n/a | 400.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| SHEFFIELD ASSET MGMT | 031 | PVH | B | 20,500 | 136.67 | n/a | 14-Jun | 820.00 | 0.0 |
| TYVOR CAPITAL LLC | 031 | RCII | B | 18,171 | 33.41 | n/a | n/a | 545.13 | 0.0 |
| SHEFFIELD ASSET MGMT | 031 | RKT | B | 39,000 | 104.78 | n/a | 17-Jun | 1,560.00 | 0.0 |
| SONICA CAPITAL LLC | 025 | RLGY | B | 15,500 | 49.87 | n/a | n/a | 465.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | SAFM | SS | 12,500 | 71.93 | n/a | n/a | 625.00 | 0.0 |
| BADGE CAPITAL | 030 | SEAS | B | 2,000 | 28.98 | n/a | n/a | 70.00 | 0.0 |
| FRED ALGER MGMT | 300 | SIX | B | 3,100 | 37.14 | n/a | n/a | 111.60 | 0.0 |
| FRED ALGER MGMT | 300 | SSS | B | 1,200 | 64.72 | n/a | n/a | 43.20 | 0.0 |
| PRIMECAP MGMT | 084 | TMO | B | 3,000 | 109.59 | n/a | n/a | 120.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | TSRO | S | 4,715 | 27.45 | n/a | n/a | 188.60 | 0.0 |
| CADIAN CAPITAL | 041 | TXRH | C | 18,000 | 27.34 | n/a | n/a | 540.00 | 0.0 |
| PRIMECAP MGMT | 084 | UTX | B | 4,000 | 112.70 | n/a | n/a | 160.00 | 0.0 |
| FRONTFOUR CAPITAL | 046 | WNC | B | 16,700 | 12.28 | n/a | n/a | 501.00 | 0.0 |
| TYVOR CAPITAL LLC | 031 | ZUMZ | B | 748 | 25.94 | n/a | n/a | 22.44 | 0.0 |

TOTAL (Trade Date):

30,098.30

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) : | | | | | | | | | 30,098.30 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 30,098.30 |

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