



## Daily Compliance Activity Report

Trade Date: 12/10/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KOLVEN CAPITAL	025	AAL	B	750	24.90	n/a	n/a	22.50	0.0
BTG PACTUAL	040	AEO	B	15,000	14.39	n/a	2-Dec	450.00	0.0
SIMMONS VENTURES	041	AEO	B	7,500	14.44	n/a	2-Dec	0.00	0.0
SIMMONS VENTURES	041	AEO	S	1,100	14.37	n/a	2-Dec	0.00	0.0
KOLVEN CAPITAL	025	AGCO	B	1,225	60.59	n/a	n/a	36.75	0.0
LAKEWOOD CAPITAL MGMT	085	ATHN	C	1,000	132.35	n/a	n/a	30.00	0.0
NEUBERGER BERMAN	036	BHP	S	48,400	66.70	n/a	n/a	1,936.00	0.0
ROSEDALE CAPITAL	046	BRCM	B	10,000	28.45	n/a	n/a	400.00	0.0
HOTCHKIS & WILEY	084	CAR	S	75,000	37.13	n/a	n/a	3,000.00	0.0
BALYASNY ASSET MGMT	044	CAT	C	25,000	86.75	n/a	11-Jul	1,250.00	0.0
IRIDIAN ASSET MGMT.	036	CCK	S	220,639	43.54	n/a	n/a	11,031.95	0.0
NEUBERGER BERMAN	036	CHKP	S	84,300	60.75	n/a	n/a	3,372.00	0.0
NEUBERGER BERMAN	036	CME	S	45,400	79.39	n/a	28-Apr	1,816.00	0.0
WADDELL AND REED	047	CME	B	93,750	79.67	n/a	28-Apr	3,750.00	0.0
FOUNDRY PARTNERS LLC	030	CRM	B	28,380	54.10	n/a	n/a	1,135.20	0.0
LAKEWOOD CAPITAL MGMT	085	DXCM	C	4,000	33.56	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAYNE ANDERSON ADV	084	ELLI	B	25,000	27.03	n/a	n/a	1,000.00	0.0
NOKOMIS PARTNERS	031	EPM	S	100	12.24	n/a	n/a	3.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ESRX	B	25,000	68.05	n/a	n/a	750.00	0.0
LAKEWOOD CAPITAL MGMT	085	FAZ	SS	45,000	23.32	n/a	n/a	1,350.00	0.0
BTIG/LIGHT STREET CAPITAL	044	FXI	SS	19,335	39.58	n/a	n/a	580.05	0.0
LIONEYE CAPITAL	040	GIB	SS	5,000	34.61	n/a	n/a	250.00	0.0
IRIDIAN ASSET MGMT.	036	HPQ	B	220,810	27.02	n/a	n/a	11,040.50	0.0
COUGAR TRADING	044	LULU	SS	15,000	70.21	n/a	19-Jun	750.00	0.0
BARROW HANLEY MEWHINNEY	031	MRK	S	160,170	49.30	n/a	n/a	5,605.97	0.0
ASCEND PARTNERS	033	MTZ	B	20,305	31.86	n/a	n/a	609.15	0.0
CORNERSTONE	030	MU	B	50,000	23.36	n/a	n/a	1,500.00	0.0
LAKEWOOD CAPITAL MGMT	085	MU	B	50,000	22.98	n/a	n/a	1,500.00	0.0
LAKEWOOD CAPITAL MGMT	085	NOW	C	2,000	50.86	n/a	n/a	60.00	0.0
FOUNDRY PARTNERS LLC	030	NWL	B	35,675	31.21	n/a	n/a	1,427.00	0.0
WAGONHOUND/NICOLAS	033	ORLY	S	5,127	124.46	n/a	n/a	205.08	0.0
KAYNE ANDERSON ADV	084	PDCO	B	35,330	41.69	n/a	n/a	1,413.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEXFORD CAPITAL	284	PNR	B	28,200	71.81	n/a	n/a	846.00	0.0
CORVEX CAPITAL	041	QCOM	SS	50,000	73.54	n/a	n/a	1,500.00	0.0
KOLVEN CAPITAL	025	SPDC	B	3,000	4.17	n/a	n/a	90.00	0.0
STELLIAM INV ADV	086	TWTR	B	50,000	51.22	n/a	n/a	2,000.00	0.0
NEUBERGER BERMAN	036	UN	S	92,000	39.50	n/a	n/a	3,680.00	0.0
MADISON ST PARTNERS LLC	046	WY	B	15,000	30.24	n/a	19-Jun	750.00	0.0
<b>TOTAL (Trade Date):</b>								<b>65,260.35</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/06	STATE TEACHERS RET SYS (STRSMAIN)	047	CAM	S	20,300	56.51	n/a	n/a	1015.00 0.0
AO,	12/09	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	15,000	40.84	n/a	19-Jun	450.00 0.0
AO,CXL	12/09	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	10,000	40.79	n/a	19-Jun	300.00 0.0
AO,CXL	12/09	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	5,000	40.94	n/a	19-Jun	150.00 0.0
AO,	12/06	STATE TEACHERS RET SYS (STRSMAIN)	047	NVDA	S	20,200	15.73	n/a	n/a	1010.00 0.0
AO,	12/06	STATE TEACHERS RET SYS (STRSMAIN)	047	STLD	S	21,000	18.92	n/a	n/a	1050.00 0.0
AO,	12/06	STATE TEACHERS RET SYS (STRSMAIN)	047	XOM	S	19,000	94.94	n/a	n/a	950.00 0.0

**TOTAL (AO, CXL, CRT) :****4,025.00**

TOTAL (Trade Date) :

65,260.35

TOTAL (AO, CXL, CRT) :

4,025.00

**TOTAL (RUN DATE) / NFS :****69,285.35**

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