



Daily Compliance Activity Report

Trade Date: 09/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NICOLAS	033	AMG	B	1,930	178.87	n/a	2-Mar	77.20	0.0
SONICA CAPITAL LLC	025	ARO	B	108,000	7.98	n/a	n/a	3,240.00	0.0
BASSWOOD PARTNERS	267	AXP	SS	19,611	73.09	n/a	19-Jun	784.44	0.0
SANDLER CAPITAL	028	BFB	B	75,000	68.35	n/a	n/a	3,750.00	0.0
SANDLER O'NEILL ASSET	031	BK	B	15,000	30.34	n/a	6-Jun	750.00	0.0
DSM CAPITAL PARTNERS	085	BRO	B	12,245	30.86	n/a	n/a	612.25	0.0
KENNEDY CAPITAL	046	CATO	B	700	25.96	n/a	n/a	28.00	0.0
IONIC CAPITAL MANAGEMENT	041	CPB	SS	29,000	42.72	n/a	n/a	870.00	0.0
CAPITAL GROWTH MGMT.	241	CUBE	B	50,000	16.46	n/a	n/a	2,000.00	0.0
MELLON/BANK OF NEW YORK	046	DIS	S	503,156	61.15	n/a	n/a	20,126.24	0.0
CADIAN CAPITAL	041	DLTR	S	18,500	54.19	n/a	4-Jun	555.00	0.0
DSM CAPITAL PARTNERS	085	EPAM	S	12,695	32.07	n/a	n/a	634.75	0.0
Ö Ryan Mueller		ETFC	S	400	15.6201	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	FDO	B	10,000	70.54	n/a	4-Jun	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	64,312	16.84	n/a	19-Jun	1,929.36	0.0
IONIC CAPITAL MANAGEMENT	041	GIS	SS	22,500	49.06	n/a	n/a	675.00	0.0
ROSEDALE CAPITAL	046	GM	S	10,000	34.75	n/a	19-Jun	400.00	0.0
TIDE POINT CAPITAL	028	GT	B	25,000	20.50	n/a	n/a	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	S	40,000	47.85	n/a	17-Jun	1,200.00	0.0
TUDOR INVESTORS	028	ITB	B	25,000	20.69	n/a	n/a	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JCI	B	20,000	41.48	n/a	10-Jun	600.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	14,500	83.47	n/a	n/a	580.00	0.0
CORTEX CAPITAL	031	JPM	B	50,000	52.00	n/a	17-Jun	2,500.00	0.0
PIMCO	084	KEX	B	15,000	81.05	n/a	n/a	300.00	0.0
CADIAN CAPITAL	041	KORS	S	14,000	75.62	n/a	30-May	420.00	0.0
IONIC CAPITAL MANAGEMENT	041	K	SS	18,300	60.69	n/a	n/a	549.00	0.0
BRONSON POINT	036	LEN	S	25,000	31.82	n/a	n/a	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033		LNN	B	12,847	78.71	n/a	n/a	385.41 0.0
TIDE POINT CAPITAL	028	MGA	B	20,000	80.03	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	MGM	B	55,000	18.36	n/a	13-Jun	1,650.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			MINI	B	13,175	30.71	n/a	n/a	395.25 0.0
SCOPUS FUND	041	MTOR	B	29,964	7.82	n/a	n/a	1,198.56	0.0
PRIMECAP MGMT	084	NKTR	B	5,000	12.78	n/a	n/a	200.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	5.34	n/a	n/a	800.00	0.0
TUDOR INVESTORS	028	PPG	S	5,000	159.03	n/a	n/a	150.00	0.0
TALON ASSET MGMT.	006	SAP	B	2,000	71.25	n/a	n/a	100.00	0.0
TALON ASSET MGMT.	006	SBUX	B	1,500	71.47	n/a	17-Jun	75.00	0.0
T. ROWE PRICE	243	SUPX	S	40,000	23.88	n/a	n/a	1,600.00	0.0
LATEEF MGMT	033	TGT	B	150	63.73	n/a	23-May	36.00	0.0
ADAGE CAPITAL MGMT	030	URBN	S	103,784	41.83	n/a	n/a	3,113.52	0.0
ROVER CAPITAL PARTNERS	040	URBN	B	2,500	41.80	n/a	n/a	125.00	0.0
TUDOR INVESTORS	028	XHB	B	15,000	28.69	n/a	n/a	450.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	10,000	87.82	n/a	n/a	300.00	0.0
TOTAL (Trade Date) :								56,509.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/30	NOKOMIS PARTNERS (NOKOFIDE)	031	AOS	B	11,480	42.19	n/a	16-May	344.40 0.0
AO,	08/30	NOKOMIS PARTNERS (NOKOMERLIN)	031	AOS	B	11,480	42.19	n/a	16-May	344.40 0.0
AO,CXL	09/03	ROSEDALE CAPITAL (ROSEJPM)	046	GM	S	5,000	34.50	n/a	19-Jun	200.00 0.0
AO,CRT	09/03	ROSEDALE CAPITAL (ROSEJPM)	046	GM	S	5,000	34.50	n/a	19-Jun	200.00 4.0
AO,	09/03	DAVIDSON KEMPNER ADVISOR (DAVIBNP)	281	GMCR	C	8,844	85.25	n/a	n/a	442.20 0.0
AO,CXL	09/03	DAVIDSON KEMPNER ADVISOR (DAVIMS)	281	GMCR	C	8,844	85.25	n/a	n/a	442.20 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	56,509.98
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TOTAL (RUN DATE) / NFS:	56,509.98
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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