

Daily Compliance Activity Report Trade Date: 09/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
MATRIX ASSET ADV.	091	ADM	S	600	37.20	n/a	n/a	24.00	0.0
PATTEN & PATTEN	025	AMLP	В	2,000	17.53	n/a	n/a	100.00	0.0
S.A.C. CAPITAL	044	ATI	SS	7,500	31.05	n/a	11-Jun	225.00	0.0
ROTHSCHILD ASSET	040	BEN	S	25,900	52.41	n/a	2-Mar	1,036.00	0.0
ROSEDALE CAPITAL	046	BRCM	S	10,000	27.97	n/a	n/a	400.00	0.0
CAERUS GLOBAL	041	CAB	В	5,000	63.61	n/a	n/a	200.00	0.0
BTG PACTUAL	040	CAKE	SS	20,000	44.41	n/a	25-Apr	600.00	0.0
FIRST NY SEC/CHRIS	041	CAKE	SS	5,000	44.32	n/a	25-Apr	250.00	0.0
RIDGECREST INV MGMT LLC	028	CAKE	SS	6,500	44.37	n/a	25-Apr	260.00	0.0
PATTEN & PATTEN	025	COV	В	1,000	62.84	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	CP	В	600	127.03	n/a	n/a	30.00	0.0
BROADARCH CAP/OLD NEWC	006	DAL	В	4,000	23.70	n/a	18-Jun	160.00	0.0
PATTEN & PATTEN	025	DBD	В	2,000	29.63	n/a	16-Jul	100.00	0.0
IMPALA ASSET MMT	040	DE	S	33,336	83.89	n/a	11-Jul	1,666.80	0.0
J. GOLDMAN	028	DKS	SS	30,000	53.00	n/a	19-Jun	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢,	/Shr.
PROVIDENCE EQUITY CAP. MK	TS.040	DOLE	S	69,000	13.60	n/a	n/a	2,070.00	0.0
CASTLEROCK	040	DRI	В	4,000	47.01	n/a	17-Jun	160.00	0.0
OTTER CREEK MGMT	093	DRI	В	30,000	47.30	n/a	17-Jun	1,500.00	0.0
OZ MGMT	040	DRI	С	89 , 792	46.65	n/a	17-Jun	2,693.76	0.0
BRIGADE CAPITAL MGMT	029	DRYS	S	100,000	3.56	n/a	n/a	3,000.00	0.0
FIRST NY SEC/CHRIS	041	EAT	SS	6,000	41.15	n/a	13-May	300.00	0.0
FIFTH THIRD BANK/FREEMAN	047	EFA	В	6 , 250	64.43	n/a	n/a	312.50	0.0
PATTEN & PATTEN	025	EPP	S	2,000	48.33	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	EWG	S	2,500	28.02	n/a	n/a	125.00	0.0
IMPALA ASSET MMT	040	EXPD	В	100,000	45.16	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	EZU	В	2,500	38.09	n/a	n/a	125.00	0.0
IMPALA ASSET MMT	040	FLR	В	40,000	72.46	n/a	n/a	2,000.00	0.0
BARROW HANLEY MEWHINNEY	031	GD	В	184,855	88.72	n/a	5-Apr	6,469.93	0.0
J. GOLDMAN	028	GPS	SS	50,000	41.67	n/a	n/a	2,000.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	10,112	27.07	n/a	n/a	303.36	0.0
MATRIX ASSET ADV.	091	HPQ	В	1,000	21.49	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
S.A.C. CAPITAL	044	HTZ	S	50,000	26.01	n/a	n/a	1,500.00	0.0	
S.A.C. CAPITAL	044	IP	SS	20,000	47.98	n/a	17-Jun	600.00	0.0	
KOLVEN CAPITAL	025	IYE	В	4,625	48.35	n/a	n/a	138.75	0.0	
S.A.C. CAPITAL	044	IYR	SS	50,000	65.62	n/a	n/a	1,500.00	0.0	
KOLVEN CAPITAL	025	IYW	В	3,200	80.22	n/a	n/a	96.00	0.0	
MACELLUM CAPITAL	086	JCP	В	99,000	13.20	n/a	18-Jun	2,970.00	0.0	
MERRILL ASSET/BLACKROCK	085	JPM	S	8 , 372	52.90	n/a	17-Jun	334.88	0.0	
SANDLER O'NEILL ASSET	031	LAZ	В	15,000	38.30	n/a	6-May	750.00	0.0	
PRIMECAP MGMT	084	LLY	В	7,000	54.12	n/a	n/a	280.00	0.0	
MERRILL ASSET/BLACKROCK	085	LM	S	2,100	34.46	n/a	2-Mar	84.00	0.0	
CSFB GLOBAL PROPRIETARY	041	LPX	В	75 , 000	18.08	n/a	19-Jun	3,750.00	0.0	
S.A.C. CAPITAL	044	LYB	В	10,000	73.39	n/a	n/a	300.00	0.0	
MOORE CAPITAL	257	MCD	S	50,000	97.75	n/a	17-Jun	1,500.00	0.0	
ROVER CAPITAL PARTNERS	040	MMM	SS	2,500	121.80	n/a	n/a	100.00	0.0	
CAERUS GLOBAL	041	М	В	10,000	44.68	n/a	18-Jun	400.00	0.0	
	S.A.C. CAPITAL S.A.C. CAPITAL KOLVEN CAPITAL S.A.C. CAPITAL KOLVEN CAPITAL KOLVEN CAPITAL MACELLUM CAPITAL MACELLUM CAPITAL S.A.C. CAPITAL MERRILL ASSET/BLACKROCK SANDLER O'NEILL ASSET PRIMECAP MGMT MERRILL ASSET/BLACKROCK CSFB GLOBAL PROPRIETARY S.A.C. CAPITAL MOORE CAPITAL ROVER CAPITAL PARTNERS	S.A.C. CAPITAL 044 S.A.C. CAPITAL 044 KOLVEN CAPITAL 025 S.A.C. CAPITAL 044 KOLVEN CAPITAL 025 MACELLUM CAPITAL 086 S.A.C. CAPITAL 044 MERRILL ASSET/BLACKROCK 085 SANDLER O'NEILL ASSET 031 PRIMECAP MGMT 084 MERRILL ASSET/BLACKROCK 085 CSFB GLOBAL PROPRIETARY 041 S.A.C. CAPITAL 044 MOORE CAPITAL 257 ROVER CAPITAL PARTNERS 040	S.A.C. CAPITAL 044 HTZ S.A.C. CAPITAL 044 IP KOLVEN CAPITAL 025 IYE S.A.C. CAPITAL 044 IYR KOLVEN CAPITAL 025 IYW MACELLUM CAPITAL 025 IYW MACELLUM CAPITAL 086 JCP S.A.C. CAPITAL 044 JCP MERRILL ASSET/BLACKROCK 085 JPM SANDLER O'NEILL ASSET 031 LAZ PRIMECAP MGMT 084 LLY MERRILL ASSET/BLACKROCK 085 LM CSFB GLOBAL PROPRIETARY 041 LPX S.A.C. CAPITAL 044 LYB MOORE CAPITAL 257 MCD ROVER CAPITAL PARTNERS 040 MMM	S.A.C. CAPITAL 044 HTZ S S.A.C. CAPITAL 044 IP SS KOLVEN CAPITAL 025 IYE B S.A.C. CAPITAL 044 IYR SS KOLVEN CAPITAL 025 IYW B MACELLUM CAPITAL 025 IYW B MACELLUM CAPITAL 086 JCP B S.A.C. CAPITAL 044 JCP SS MERRILL ASSET/BLACKROCK 085 JPM S SANDLER O'NEILL ASSET 031 LAZ B PRIMECAP MGMT 084 LLY B MERRILL ASSET/BLACKROCK 085 LM S CSFB GLOBAL PROPRIETARY 041 LPX B S.A.C. CAPITAL 044 LYB B MOORE CAPITAL 044 LYB B MOORE CAPITAL 257 MCD S ROVER CAPITAL PARTNERS 040 MMM SS	S.A.C. CAPITAL 044 HTZ S 50,000 S.A.C. CAPITAL 044 IP SS 20,000 KOLVEN CAPITAL 025 IYE B 4,625 S.A.C. CAPITAL 044 IYR SS 50,000 KOLVEN CAPITAL 025 IYW B 3,200 MACELLUM CAPITAL 025 IYW B 99,000 S.A.C. CAPITAL 044 JCP SS 300,000 MERRILL ASSET/BLACKROCK 085 JPM S 8,372 SANDLER O'NEILL ASSET 031 LAZ B 15,000 PRIMECAP MGMT 084 LLY B 7,000 MERRILL ASSET/BLACKROCK 085 LM S 2,100 CSFB GLOBAL PROPRIETARY 041 LPX B 75,000 S.A.C. CAPITAL 044 LYB B 10,000 MOORE CAPITAL 257 MCD S 50,000 ROVER CAPITAL 257 MCD S 50,000	S.A.C. CAPITAL 044 HTZ S 50,000 26.01 S.A.C. CAPITAL 044 IP SS 20,000 47.98 KOLVEN CAPITAL 025 IYE B 4,625 48.35 S.A.C. CAPITAL 044 IYR SS 50,000 65.62 KOLVEN CAPITAL 025 IYW B 3,200 80.22 MACELLUM CAPITAL 086 JCP B 99,000 13.20 S.A.C. CAPITAL 044 JCP SS 300,000 13.01 MERRILL ASSET/BLACKROCK 085 JPM S 8,372 52.90 SANDLER O'NEILL ASSET 031 LAZ B 15,000 38.30 PRIMECAP MGMT 084 LLY B 7,000 54.12 MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 CSFB GLOBAL PROPRIETARY 041 LPX B 75,000 18.08 S.A.C. CAPITAL 044 LYB B 10,000 73.39 MOORE CAPITAL 257 MCD S 50,000 97.75 ROVER CAPITAL PARTNERS 040 MMM SS 2,500 121.80	S.A.C. CAPITAL 044 HTZ S 50,000 26.01 n/a S.A.C. CAPITAL 044 IP SS 20,000 47.98 n/a KOLVEN CAPITAL 025 IYE B 4,625 48.35 n/a S.A.C. CAPITAL 044 IYR SS 50,000 65.62 n/a KOLVEN CAPITAL 025 IYW B 3,200 80.22 n/a MACELLUM CAPITAL 025 IYW B 99,000 13.20 n/a S.A.C. CAPITAL 044 JCP SS 300,000 13.01 n/a MERRILL ASSET/BLACKROCK 085 JPM S 8,372 52.90 n/a SANDLER O'NEILL ASSET 031 LAZ B 15,000 38.30 n/a PRIMECAP MGMT 084 LLY B 7,000 54.12 n/a MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 n/a CSFB GLOBAL PROPRIETARY 041 LPX B 75,000 18.08 n/a S.A.C. CAPITAL 044 LYB B 10,000 73.39 n/a MOORE CAPITAL 257 MCD S 50,000 97.75 n/a ROVER CAPITAL PARTNERS 040 MMM SS 2,500 121.80 n/a	S.A.C. CAPITAL 044 HTZ S 50,000 26.01 n/a n/a S.A.C. CAPITAL 044 IP SS 20,000 47.98 n/a 17-Jun KOLVEN CAPITAL 025 IYE B 4,625 48.35 n/a n/a S.A.C. CAPITAL 044 IYR SS 50,000 65.62 n/a n/a KOLVEN CAPITAL 025 IYW B 3,200 80.22 n/a n/a MACELLUM CAPITAL 086 JCP B 99,000 13.20 n/a 18-Jun S.A.C. CAPITAL 044 JCP SS 300,000 13.01 n/a 18-Jun S.A.C. CAPITAL 044 JCP SS 300,000 13.01 n/a 18-Jun SANDLER G'NEILL ASSET 031 LAZ B 15,000 38.30 n/a 6-May PRIMECAP MGMT 084 LLY B 7,000 54.12 n/a n/a MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 n/a 2-Mar CSFB GLOBAL PROPRIETARY 041 LPX B 75,000 18.08 n/a 19-Jun S.A.C. CAPITAL 044 LYB B 10,000 73.39 n/a n/a MOORE CAPITAL 044 LYB B 10,000 73.39 n/a n/a MOORE CAPITAL 044 LYB B 50,000 97.75 n/a 17-Jun	S.A.C. CAPITAL 044 HTZ S 50,000 26.01 n/a n/a 1,500.00 S.A.C. CAPITAL 044 TP SS 20,000 47.98 n/a 17-Jun 6600.00 KOLVEN CAPITAL 025 IYE B 4,625 48.35 n/a n/a 138.75 S.A.C. CAPITAL 044 IYR SS 50,000 65.62 n/a n/a 1,500.00 KOLVEN CAPITAL 025 TYW B 3,200 80.22 n/a n/a 18-Jun 2,970.00 MACELLUM CAPITAL 086 JCP B 99,000 13.20 n/a 18-Jun 2,970.00 S.A.C. CAPITAL 044 JCP SS 300,000 13.01 n/a 18-Jun 9,000.00 MERRILL ASSET/BLACKROCK 085 JPM S 8,372 52.90 n/a 17-Jun 334.88 SANDLER O'NEILL ASSET 031 LAZ B 15,000 38.30 n/a 6-May 750.00 MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 n/a 2-Max 84.00 MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 n/a 2-Max 84.00 CSFB GLOBAL PROPRIETARY 041 LPX B 75,000 18.08 n/a 19-Jun 3,750.00 S.A.C. CAPITAL 044 LYB B 10,000 73.39 n/a n/a 300.00 MOORE CAPITAL 257 MCD S 50,000 97.75 n/a 17-Jun 1,500.00 ROVER CAPITAL PARTNERS 040 MMM SS 2,500 121.80 n/a 17-Jun 1,500.00	S.A.C. CAPITAL 044 HTZ S 50,000 26.01 n/a n/a 1,500.00 0.0 S.A.C. CAPITAL 044 IF SS 20,000 47.98 n/a 17-Jun 600.00 0.0 KOLVEN CAPITAL 025 IVE B 4,625 48.35 n/a n/a 138.75 0.0 S.A.C. CAPITAL 044 IVE SS 50,000 65.62 n/a n/a 1,500.00 0.0 KOLVEN CAPITAL 025 IVW B 3,200 80.22 n/a n/a n/a 1,500.00 0.0 MACELLUM CAPITAL 025 IVW B 3,200 80.22 n/a n/a 18-Jun 2,970.00 0.0 S.A.C. CAPITAL 044 JCP SS 300,000 13.20 n/a 18-Jun 9,000.00 0.0 MERRILL ASSET/BLACKROCK 085 JPM S 8,372 52.90 n/a 18-Jun 9,000.00 0.0 SANDLER O'NEILL ASSET 031 LAZ B 15,000 38.30 n/a 17-Jun 334.88 0.0 PRIMECAP MGMT 084 ILIY B 7,000 54.12 n/a n/a 280.00 0.0 MERRILL ASSET/BLACKROCK 085 LM S 2,100 34.46 n/a 2-Mar 84.00 0.0 CSFE GLOBAL PROPRIETARY 041 LPX B 75,000 18.08 n/a 19-Jun 3,750.00 0.0 S.A.C. CAPITAL 044 LYB B 10,000 73.39 n/a n/a 300.00 0.0 MOORE CAPITAL 257 MCD S 50,000 97.75 n/a 17-Jun 1,500.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
LOMAS CAPITAL	040	NCLH	В	18,400	32.97	n/a	n/a	552.00	0.0
PATTEN & PATTEN	025	NSC	S	1,000	77.97	n/a	n/a	50.00	0.0
SANDLER O'NEILL ASSET	031	NTRS	SS	15,069	56.01	n/a	6-Jun	753.45	0.0
CAERUS GLOBAL	041	RHP	В	5,000	35.90	n/a	n/a	200.00	0.0
KORT	025	RKT	SS	5,000	110.52	n/a	17-Jun	150.00	0.0
WILLIAMS TRADING/NEWBROOK	306	RL	В	92 , 975	167.50	n/a	24-May	3,719.00	0.0
IMPALA ASSET MMT	040	RYL	S	80,000	40.89	n/a	n/a	4,000.00	0.0
CAERUS GLOBAL	041	SGMS	S	10,000	16.50	n/a	n/a	400.00	0.0
NEWLAND CAPITAL MGT	025	TC	В	10,000	3.57	n/a	n/a	200.00	0.0
INTERVAL PARTNERS	033	TGT	SS	20,000	65.02	n/a	23-May	600.00	0.0
TUDOR INVESTORS	028	TRW	S	10,000	72.38	n/a	n/a	300.00	0.0
TYVOR CAPITAL LLC	031	TUMI	S	2,754	21.42	n/a	n/a	82.62	0.0
EPOCH INV MGMT	030	UNH	S	138,312	71.22	n/a	n/a	4,149.36	0.0
PATTEN & PATTEN	025	VEU	В	365	49.36	n/a	n/a	18.25	0.0
ROVER CAPITAL PARTNERS	040	WFM	SS	2,900	58.22	n/a	n/a	145.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
THOMPSON SIEGAL&WALMSLEY WALL STREET CAPITAL	029 084	WNC WNC	B S	84,175 33,600	11.70 11.75	n/a n/a	n/a n/a	2,525.25 0.0 1,512.00 0.0
S.A.C. CAPITAL	044	WY	В	20,000	28.80	n/a	19-Jun	600.00 0.0
KOLVEN CAPITAL	025	XLE	SS	2,650	84.90	n/a	n/a	79.50 0.0

TOTAL (Trade Date): 75,841.41

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	09/19	MAPLE LANE CAPITAL (MAPCGS)	040	FXI	В	50,000	38.71	n/a	n/a	2500.00	0.0
AO,	09/19	MAPLE LANE CAPITAL (MAPCGS)	040	FXI	В	50,000	38.71	n/a	n/a	2000.00	0.0
AO,CXL	09/19	STELLIAM INV ADV (STLLCSFB)	086	LPX	В	6,100	18.12	n/a	19-Jun	305.00	0.0
AO,	09/19	STELLIAM INV ADV (STLLCSFB)	086	LPX	В	6,100	18.12	n/a	19-Jun	244.00	0.0
AO,CXL	09/19	STELLIAM INV ADV (STLLMSEXEC)	086	LPX	В	43,900	18.12	n/a	19-Jun	2195.00	0.0
AO,	09/19	STELLIAM INV ADV (STLLMSEXEC)	086	LPX	В	43,900	18.12	n/a	19-Jun	1756.00	0.0
AO,CXL	09/19	IMPALA ASSET MMT (IMPAFIDELI)	040	MTH	S	21,861	45.00	n/a	n/a	0.00	0.0
AO,	09/19	IMPALA ASSET MMT (IMPAFIDELI)	040	MTH	S	21,861	45.00	n/a	n/a	1093.05	0.0
AO,CXL	09/19	IMPALA ASSET MMT (IMPACITI)	040	MTH	S	1,515	45.00	n/a	n/a	0.00	0.0
AO,	09/19	IMPALA ASSET MMT (IMPACITI)	040	MTH	S	1,515	45.00	n/a	n/a	75.75	0.0
AO,	09/19	BADGE CAPITAL (BADGJPM)	030	RGS	В	1,000	14.85	n/a	n/a	30.00	0.0
AO,CXL	09/19	BADGE CAPITAL (BADGUSBANK)	030	RGS	В	1,000	14.85	n/a	n/a	50.00	0.0
AO,	09/19	LOMAS CAPITAL (LOMAJPM)	040	USB	S	8 , 525	37.75	n/a	n/a	255.75	0.0
AO, CXL	09/19	LOMAS CAPITAL (LOMACSFB)	040	USB	S	114,000	37.75	n/a	n/a	3420.00	0.0
AO,	09/19	LOMAS CAPITAL (LOMACSFB)	040	USB	S	105,475	37.75	n/a	n/a	3164.25	0.0

TOTAL	(AO,	CXL,	CRT):	148.80	
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TOTAL	(Trade Date):	75,841.41
TOTAL	(AO, CXL, CRT):	148.80

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