

Daily Compliance Activity Report Trade Date: 09/23/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.	
BROADARCH CAP/OLD NEWC	006	AAPL	В	200	489.25	n/a	n/a	8.00	0.0	
BROADARCH CAP/OLD NEWC	006	AET	В	2,000	63.62	n/a	n/a	80.00	0.0	
J. GOLDMAN	028	BIG	S	42,159	37.22	n/a	n/a	1,686.36	0.0	
NEWLAND CAPITAL MGT	025	BLDR	В	20,000	5.93	n/a	n/a	800.00	0.0	
BROADARCH CAP/OLD NEWC	006	САН	SS	2,000	53.10	n/a	n/a	80.00	0.0	
BROADARCH CAP/OLD NEWC	006	CE	S	3,000	50.96	n/a	20-May	120.00	0.0	
CORTEX CAPITAL	031	CLX	В	10,000	83.07	n/a	17-Jun	300.00	0.0	
BARON ASSET MGMT*	006	CPRT	В	20,000	34.50	n/a	n/a	800.00	0.0	
J. GOLDMAN	028	DG	В	30,000	58.00	n/a	4-Jun	1,200.00	0.0	
BROADARCH CAP/OLD NEWC	006	DHR	SS	1,500	69.56	n/a	n/a	60.00	0.0	
ENTRUST CAPITAL-N/C TO M	SF CAP	040	DRI	В	19,653	45.57	n/a	17-Jun	982.65 0.0)
LAGRANGE CAP ADV	087	EGO	В	20,000	6.88	n/a	n/a	1,000.00	0.0	
TYVOR CAPITAL LLC	031	EXPR	S	15,000	23.85	n/a	n/a	450.00	0.0	
BROADARCH CAP/OLD NEWC	006	FAZ	В	2,000	28.98	n/a	n/a	80.00	0.0	

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J. GOLDMAN	028	FDO	S	20,000	74.08	n/a	4-Jun	800.00	0.0
IONIC CAPITAL MANAGEMENT	041	FISV	В	4,600	101.23	n/a	n/a	138.00	0.0
ROTHSCHILD ASSET	040	FOE	В	19,833	8.87	n/a	n/a	793.32	0.0
CAERUS GLOBAL	041	F	В	10,000	17.23	n/a	19-Jun	400.00	0.0
CASTLEROCK	040	F	S	40,000	17.10	n/a	19-Jun	1,600.00	0.0
LISTED ERR	099	F	В	10,000	17.13	n/a	19-Jun	0.00	0.0
LISTED ERR	099	F	S	10,000	17.01	n/a	19-Jun	0.00	0.0
EPOCH INV MGMT	030	GE	В	200,000	24.30	n/a	n/a	6,000.00	0.0
VISIUM/BALY BOBBY	044	GE	SS	20,000	24.23	n/a	n/a	1,000.00	0.0
CAERUS GLOBAL	041	GM	S	5,000	37.15	n/a	19-Jun	200.00	0.0
CASTLEROCK	040	GM	В	11,260	36.92	n/a	19-Jun	450.40	0.0
OZ MGMT	040	GM	S	50,000	37.19	n/a	19-Jun	1,500.00	0.0
LISTED ERR	099	GM	В	5,000	36.93	n/a	19-Jun	0.00	0.0
LISTED ERR	099	GM	S	5,000	36.93	n/a	19-Jun	0.00	0.0
TYVOR CAPITAL LLC	031	GNC	S	10,000	53.84	n/a	n/a	300.00	0.0
IONIC CAPITAL MANAGEMENT	041	GPN	В	9,400	49.67	n/a	n/a	282.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	S	750	165.39	n/a	6-May	30.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	2,701	26.96	n/a	n/a	81.03	0.0
IONIC CAPITAL MANAGEMENT	041	НРҮ	В	12,300	38.91	n/a	n/a	369.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BROADARCH CAP/OLD NEWC	006	HUN	В	2,000	20.45	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	ITB	S	5,000	22.20	n/a	n/a	200.00	0.0
SIGMA CAP BOBBY	041	JCP	В	50,000	12.34	n/a	18-Jun	1,500.00	0.0
BROADARCH CAP/OLD NEWC	006	JPM	SS	1,500	51.65	n/a	17-Jun	60.00	0.0
TIEDEMANN/TIG ADVISORS LL	C006	КВН	В	5,900	17.04	n/a	n/a	295.00	0.0
CAERUS GLOBAL	041	KORS	В	5,000	74.76	n/a	30-May	200.00	0.0
LATEEF MGMT	033	K	В	250	60.28	n/a	n/a	50.00	0.0
FRED ALGER MGMT	300	LEN	В	8 , 500	34.33	n/a	n/a	306.00	0.0
KORT	025	LPX	S	100,000	17.50	n/a	19-Jun	3,000.00	0.0
BROADARCH CAP/OLD NEWC	006	MCK	S	1,000	130.65	n/a	n/a	40.00	0.0
FRED ALGER MGMT	300	MSM	В	19,105	80.34	n/a	n/a	687.78	0.0
CORTEX CAPITAL	031	М	В	10,000	44.66	n/a	18-Jun	300.00	0.0
LATEEF MGMT	033	NUE	S	400	49.89	n/a	n/a	48.00	0.0
J. GOLDMAN	028	PKG	SS	28,000	58.74	n/a	17-Jun	1,120.00	0.0
MERRILL ASSET/BLACKROCK	085	PRE	S	10,600	90.82	n/a	n/a	424.00	0.0
	BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC SIGMA CAP BOBBY BROADARCH CAP/OLD NEWC TIEDEMANN/TIG ADVISORS LL CAERUS GLOBAL LATEEF MGMT FRED ALGER MGMT KORT BROADARCH CAP/OLD NEWC FRED ALGER MGMT CORTEX CAPITAL LATEEF MGMT J. GOLDMAN	BROADARCH CAP/OLD NEWC 006 BROADARCH CAP/OLD NEWC 006 SIGMA CAP BOBBY 041 BROADARCH CAP/OLD NEWC 006 TIEDEMANN/TIG ADVISORS LLC006 CAERUS GLOBAL 041 LATEEF MGMT 033 FRED ALGER MGMT 300 KORT 025 BROADARCH CAP/OLD NEWC 006 FRED ALGER MGMT 300 CORTEX CAPITAL 031 LATEEF MGMT 033 J. GOLDMAN 028	BROADARCH CAP/OLD NEWC 006 HUN BROADARCH CAP/OLD NEWC 006 ITB SIGMA CAP BOBBY 041 JCP BROADARCH CAP/OLD NEWC 006 JPM TIEDEMANN/TIG ADVISORS LLC006 KBH CAERUS GLOBAL 041 KORS LATEEF MGMT 033 K FRED ALGER MGMT 300 LEN KORT 025 LPX BROADARCH CAP/OLD NEWC 006 MCK FRED ALGER MGMT 300 MSM CORTEX CAPITAL 031 M LATEEF MGMT 033 NUE J. GOLDMAN 028 PKG	BROADARCH CAP/OLD NEWC 006 HUN B BROADARCH CAP/OLD NEWC 006 ITB S SIGMA CAP BOBBY 041 JCP B BROADARCH CAP/OLD NEWC 006 JPM SS TIEDEMANN/TIG ADVISORS LLC006 KBH B CAERUS GLOBAL 041 KORS B LATEEF MGMT 033 K B FRED ALGER MGMT 300 LEN B KORT 025 LPX S BROADARCH CAP/OLD NEWC 006 MCK S FRED ALGER MGMT 300 MSM B CORTEX CAPITAL 031 M B LATEEF MGMT 033 NUE S J. GOLDMAN 028 PKG SS	BROADARCH CAP/OLD NEWC 006 HUN B 2,000 BROADARCH CAP/OLD NEWC 006 ITB S 5,000 SIGMA CAP BOBBY 041 JCP B 50,000 BROADARCH CAP/OLD NEWC 006 JPM SS 1,500 TIEDEMANN/TIG ADVISORS LLC006 KBH B 5,900 CAERUS GLOBAL 041 KORS B 5,000 LATEEF MGMT 033 K B 250 FRED ALGER MGMT 300 LEN B 8,500 KORT 025 LPX S 100,000 BROADARCH CAP/OLD NEWC 006 MCK S 1,000 FRED ALGER MGMT 300 MSM B 19,105 CORTEX CAPITAL 031 M B 10,000 LATEEF MGMT 033 NUE S 400 J. GOLDMAN 028 PKG SS 28,000	BROADARCH CAP/OLD NEWC 006 HUN B 2,000 20.45 BROADARCH CAP/OLD NEWC 006 ITB S 5,000 22.20 SIGMA CAP BOBBY 041 JCP B 50,000 12.34 BROADARCH CAP/OLD NEWC 006 JPM SS 1,500 51.65 TIEDEMANN/TIG ADVISORS LLC006 KBH B 5,900 17.04 CAERUS GLOBAL 041 KORS B 5,000 74.76 LATEEF MGMT 033 K B 250 60.28 FRED ALGER MGMT 300 LEN B 8,500 34.33 KORT 025 LPX S 100,000 17.50 BROADARCH CAP/OLD NEWC 006 MCK S 1,000 130.65 FRED ALGER MGMT 300 MSM B 19,105 80.34 CORTEX CAPITAL 031 M B 10,000 44.66 LATEEF MGMT 033 NUE S 400 49.89 J. GOLDMAN 028 PKG SS 28,000 58.74	BROADARCH CAP/OLD NEWC 006 HUN	BROADARCH CAP/OLD NEWC 006 HUN B 2,000 20.45 n/a n/a BROADARCH CAP/OLD NEWC 006 ITB S 5,000 22.20 n/a n/a SIGMA CAP BOBBY 041 JCP B 50,000 12.34 n/a 18-Jun BROADARCH CAP/OLD NEWC 006 JPM SS 1,500 51.65 n/a 17-Jun TIEDEMANN/TIG ADVISORS LLC006 KBH B 5,900 17.04 n/a n/a CAERUS GLOBAL 041 KORS B 5,000 74.76 n/a 30-May LATEEF MGMT 033 K B 250 60.28 n/a n/a FRED ALGER MGMT 300 LEN B 8,500 34.33 n/a n/a KORT 025 LPX S 100,000 17.50 n/a 19-Jun BROADARCH CAP/OLD NEWC 006 MCK S 1,000 130.65 n/a n/a FRED ALGER MGMT 300 MSM B 19,105 80.34 n/a n/a CORTEX CAPITAL 031 M B 10,000 44.66 n/a 18-Jun LATEEF MGMT 033 NUE S 400 49.89 n/a n/a J. GOLDMAN 028 PKG SS 28,000 58.74 n/a 17-Jun	BROADARCH CAP/OLD NEWC 006 HUN B 2,000 20.45 n/a n/a 80.00 BROADARCH CAP/OLD NEWC 006 ITB S 5,000 22.20 n/a n/a 200.00 SIGMA CAP BOBBY 041 JCP B 50,000 12.34 n/a 18-Jun 1,500.00 BROADARCH CAP/OLD NEWC 006 JPM SS 1,500 51.65 n/a 17-Jun 60.00 TIEDEMANN/TIG ADVISORS LLC006 KBH B 5,900 17.04 n/a n/a 295.00 CAERUS GLOBAL 041 KORS B 5,000 74.76 n/a 30-May 200.00 LATEEF MGMT 033 K B 250 60.28 n/a n/a n/a 50.00 FRED ALGER MGMT 300 LEN B 8,500 34.33 n/a n/a n/a 306.00 KORT 025 LPX S 100,000 17.50 n/a 19-Jun 3,000.00 BROADARCH CAP/OLD NEWC 006 MCK S 1,000 130.65 n/a n/a 40.00 FRED ALGER MGMT 300 MSM B 19,105 80.34 n/a n/a 687.78 CORTEX CAPITAL 031 M B 10,000 44.66 n/a 18-Jun 300.00 LATEEF MGMT 033 NUE S 400 49.89 n/a n/a 48.00 J. GOLDMAN 028 PKG SS 28,000 58.74 n/a 17-Jun 1,120.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BROADARCH CAP/OLD NEWC	006	PX	SS	1,500	121.11	n/a	n/a	60.00	0.0
RIVERPARK CAPITAL	025	RLGY	В	10,201	43.21	n/a	n/a	510.05	0.0
BROADARCH CAP/OLD NEWC	006	SI	SS	1,500	121.14	n/a	n/a	60.00	0.0
S.A.C. CAPITAL	044	SPY	В	225,000	169.96	n/a	n/a	6,750.00	0.0
GOLD SACHS SPECIAL SIT	030	SRI	В	40,000	11.18	n/a	n/a	2,000.00	0.0
TYVOR CAPITAL LLC	031	SSI	В	2,401	19.94	n/a	18-Jun	72.03	0.0
RIVERPARK CAPITAL	025	SWN	В	13,160	36.86	n/a	13-Jun	658.00	0.0
FSI GROUP, LLC	047	TCO	S	30,000	68.34	n/a	n/a	1,200.00	0.0
HAWK RIDGE	025	TECD	В	12,000	49.73	n/a	n/a	360.00	0.0
BRONSON POINT	036	TFSL	В	20,000	11.12	n/a	n/a	600.00	0.0
BROADARCH CAP/OLD NEWC	006	TMO	S	4,000	93.32	n/a	n/a	160.00	0.0
LATEEF MGMT	033	TRV	S	150	86.47	n/a	n/a	36.00	0.0
IONIC CAPITAL MANAGEMENT	041	TSS	В	15,900	29.37	n/a	n/a	477.00	0.0
BROADARCH CAP/OLD NEWC	006	UNH	SS	1,500	70.86	n/a	n/a	60.00	0.0
PRIMECAP MGMT	084	WFC	В	3,000	42.22	n/a	6-Jun	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
THOMPSON SIEGAL&WALMSLEY	029	WNC	В	80,425	11.55	n/a	n/a	2,412.75 0.0
NOKOMIS PARTNERS	031	WTW	SS	18,000	37.58	n/a	n/a	540.00 0.0
BROADARCH CAP/OLD NEWC	006	XLI	SS	2,000	46.73	n/a	n/a	80.00 0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	82.11	n/a	n/a	450.00 0.0
CASTLEROCK	040	YUM	SS	11,618	71.62	n/a	17-Jun	464.72 0.0
PRIMECAP MGMT	084	ZMH	S	1,000	83.93	n/a	n/a	40.00 0.0

Cancel/Corrects and As-Of Trades

•	FIFTH THIRD BANK/FREEMAN (FTC		EFA	В							
AO,CRT 09/20 F	FIFTH THIRD BANK/FREEMAN (FTC			D		6,250	54.43	n/a	n/a	312.50	0.0
		.) 047	EFA	В		6,250	64.43	n/a	n/a	250.00	4.0
AO,CXL 09/16 G	GUGGENHEIM GLOBAL TRADING (GG	(GUGGCSFB)	251 S	USS	S	12,000	52.16	n/	/a n	/a 416.	55 0.
AO,CXL 09/16 G	GUGGENHEIM GLOBAL TRADING (GG	(GUGGCSFB)	251 S	USS	S	1,88	5 52.16	n/	/a n	/a 56.	55 0.
AO, 09/16 G	GUGGENHEIM GLOBAL TRADING (GG	(GUGGCSFB)	251 S	USS	S	1,88	52.50	n/	/a n	/a 56.	55 0.
AO, 09/16 G	GUGGENHEIM GLOBAL TRADING (GG	(GUGGCSFB)	251 S	USS	S	5,000	52.25	n/	/a n	/a 150.	00 0.
AO, 09/16 G	GUGGENHEIM GLOBAL TRADING (GG	(GUGGCSFB)	251 S	USS	S	7,000	52.00	n/	/a n	/a 210.	00 0.

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	47,012.09 -119.05
TOTAL (RUN DATE) / NFS:	46,893.04

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