



Daily Compliance Activity Report

Trade Date: 09/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	ABBV	C	29,000	44.78	n/a	n/a	1,450.00	0.0
VISIUM/BALY BOBBY	044	ABC	C	33,000	61.06	n/a	n/a	1,650.00	0.0
VISIUM/BALY BOBBY	044	ABT	C	38,000	33.17	n/a	n/a	1,900.00	0.0
J. GOLDMAN	028	ALV	B	30,000	87.47	n/a	19-Jun	1,200.00	0.0
PECONIC PARTNERS	036	AXL	B	170,000	19.76	n/a	19-Jun	8,500.00	0.0
SANDLER O'NEILL ASSET	031	BK	SS	4,900	30.24	n/a	6-Jun	245.00	0.0
RIDGECREST INV MGMT LLC	028	CGI	B	5,000	18.79	n/a	n/a	200.00	0.0
EPOCH INV MGMT	030	CHKP	B	91,350	56.48	n/a	n/a	2,740.50	0.0
KAM ADVISORS LLC	041	CHKP	C	20,900	56.56	n/a	n/a	627.00	0.0
KLEINHEINZ CAP PART	031	CHK	SS	225,000	25.78	n/a	n/a	11,250.00	0.0
HAHN CAPITAL MANAGEMENT	084	CIT	B	53,180	48.78	n/a	13-Jun	2,659.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		CNHI	S	150,000	12.92	n/a	n/a	6,000.00	0.0
ARDSLEY PARTNERS	280	CTB	C	35,000	31.00	n/a	n/a	1,750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DORM	S	25,000	49.25	n/a	n/a	750.00 0.0
DEPRINCE, RACE & ZOLLO	093	FINL	S	30,000	24.73	n/a	19-Jun	1,800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	FOE	S	25,000	9.10	n/a	n/a	750.00	0.0
JETSTREAM GLOBAL FUND LP	065	FSLR	B	25,000	40.23	n/a	n/a	1,250.00	0.0
CAERUS GLOBAL	041	F	B	27,350	16.84	n/a	19-Jun	1,094.00	0.0
KINGDON ASSET MGMT	041	GM	S	100,000	35.92	n/a	19-Jun	4,000.00	0.0
SYMPHONY ASSET	033	GM	S	14,250	36.11	n/a	19-Jun	427.50	0.0
TIDE POINT CAPITAL	028	GM	B	10,000	36.21	n/a	19-Jun	300.00	0.0
DSG CAPITAL	030	GSVC	B	3,500	14.78	n/a	n/a	175.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	600	26.95	n/a	n/a	12.00	0.0
BRANDWINE	028	HTZ	B	188,810	22.16	n/a	n/a	7,552.40	0.0
BALYASNY ASSET MGMT	044	IGT	S	220,000	19.01	n/a	13-Jun	11,000.00	0.0
PRIMECAP MGMT	084	IMGN	B	4,860	16.99	n/a	n/a	194.40	0.0
MERRILL ASSET/BLACKROCK	085	ITG	S	36,500	15.75	n/a	n/a	1,460.00	0.0
DC CAPITAL	044	JCP	B	150,000	8.99	n/a	18-Jun	4,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	56.01	n/a	18-Jun	750.00	0.0
S.A.C. CAPITAL	044	LPX	B	60,000	17.57	n/a	19-Jun	1,800.00	0.0
ROYSTONE CAPITAL	040	LYV	B	85,000	18.57	n/a	n/a	2,550.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	LYV	B	100,000	18.58	n/a	n/a	5,000.00	0.0
ASCEND PARTNERS	033	MR	C	22,000	38.90	n/a	n/a	660.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	SS	2,500	38.21	n/a	18-Jun	100.00	0.0
WAGONHOUND/NICOLAS	033	M	S	10,543	43.13	n/a	18-Jun	421.72	0.0
SAGE ASSET MGMT	025	NAV	SS	7,500	36.74	n/a	11-Jul	375.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040		NIHD	S	70,000	6.07	n/a	n/a	1,400.00	0.0
FOCUSED INVESTORS	084	NKE	S	129,700	72.60	n/a	19-Jun	5,188.00	0.0
WINSLOW CAPITAL	030	NKE	B	397,500	72.65	n/a	19-Jun	11,925.00	0.0
SYMPHONY ASSET	033	PAG	SS	24,310	42.36	n/a	19-Jun	729.30	0.0
KEY ASSET MGMT/VICTORY	220	PVH	B	62,730	118.83	n/a	14-Jun	2,509.20	0.0
SHEFFIELD ASSET MGMT	031	PVH	B	15,000	118.82	n/a	14-Jun	600.00	0.0
PRIMECAP MGMT	084	QGEN	B	11,400	21.59	n/a	n/a	456.00	0.0
LOMAS CAPITAL	040	RCL	B	8,500	38.01	n/a	n/a	255.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	38,400	101.14	n/a	17-Jun	1,536.00	0.0
CASTLE ARK	031	SHW	B	27,320	181.49	n/a	n/a	1,092.80	0.0
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	168.21	n/a	n/a	400.00	0.0
COLUMBUS CAP MGMT LLC	084	SSI	SS	30,000	19.25	n/a	18-Jun	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	SSI	S	25,775	19.30	n/a	18-Jun	1,288.75	0.0
EPOCH INV MGMT	030	STX	B	31,500	43.62	n/a	n/a	945.00	0.0
TUDOR INVESTORS	028	ST	S	25,000	38.25	n/a	n/a	750.00	0.0
GATOR CAPITAL MGMT LLC	093	TFSL	B	10,440	11.92	n/a	n/a	313.20	0.0
SYMPHONY ASSET	033	UAM	B	9,359	7.63	n/a	n/a	280.77	0.0
ARDSLEY PARTNERS	280	VNDA	S	20,000	11.11	n/a	n/a	1,000.00	0.0
LOMAS CAPITAL	040	WFC	B	25,000	41.19	n/a	6-Jun	750.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	25,650	11.58	n/a	n/a	769.50	0.0
LEVIN CAPITAL STRATEGIES	041	XLP	C	20,000	39.94	n/a	n/a	600.00	0.0
COLUMBUS CAP MGMT LLC	084	XOP	B	15,000	65.92	n/a	n/a	600.00	0.0
TOTAL (Trade Date):								121,682.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/27	SLS CAPITAL LLC (SLSCJEFF)	006	MSFT	B	2,297	33.36	n/a	n/a	91.88 0.0
AO,CXL	09/27	SLS CAPITAL LLC (SLSCBARC)	006	MSFT	B	53,424	33.36	n/a	n/a	2671.20 0.0
AO,	09/27	SLS CAPITAL LLC (SLSCBARC)	006	MSFT	B	51,127	33.36	n/a	n/a	2045.08 0.0

TOTAL (AO, CXL, CRT) :	-534.24
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TOTAL (Trade Date) :	121,682.04
TOTAL (AO, CXL, CRT) :	-534.24

TOTAL (RUN DATE) / NFS :	121,147.80
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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