



## Daily Compliance Activity Report

Trade Date: 12/23/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	ALK	S	35,000	72.07	n/a	n/a	1,750.00	0.0
RAINIER INV MGMT	033	AMG	B	13,600	213.03	n/a	2-Mar	544.00	0.0
LAKEWOOD CAPITAL MGMT	085	CAMP	SS	2,000	28.53	n/a	n/a	60.00	0.0
IMPALA ASSET MMT	040	CAT	B	85,000	89.94	n/a	11-Jul	4,250.00	0.0
ASCEND PARTNERS	033	CHS	C	34,446	18.69	n/a	5-Feb	1,033.38	0.0
HARVEST MGMT	029	DECK	B	2,500	85.00	n/a	n/a	100.00	0.0
SYMPHONY ASSET	033	DG	B	3,682	61.40	n/a	4-Jun	110.46	0.0
OSTERWEIS CAPITAL	084	DLR	B	50,590	48.35	n/a	n/a	2,529.50	0.0
CORTEX CAPITAL	031	FOSL	B	10,000	120.13	n/a	n/a	300.00	0.0
BALYASNY ASSET MGMT	044	F	SS	75,000	15.15	n/a	19-Jun	3,750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	50,000	15.12	n/a	19-Jun	1,500.00	0.0
IMPALA ASSET MMT	040	GD	S	30,000	93.14	n/a	5-Apr	1,500.00	0.0
BALYASNY ASSET MGMT	044	GM	S	50,000	41.25	n/a	19-Jun	2,500.00	0.0
HERRING CREEK CAPITAL	040	HAIN	C	87,982	88.79	n/a	n/a	2,639.46	0.0
SYMPHONY ASSET	033	HD	B	1,440	80.80	n/a	n/a	43.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INTERVAL PARTNERS	033	HIBB	SS	10,000	66.45	n/a	n/a	300.00	0.0
MADISON ST PARTNERS LLC	046	HIMX	B	35,000	13.32	n/a	n/a	1,750.00	0.0
PHILADELPHIA FINANCIAL	033	HPY	S	20,000	48.77	n/a	n/a	800.00	0.0
PLATTE RIVER CAPITAL	046	HSP	S	13,350	40.99	n/a	17-Jun	534.00	0.0
INTERVAL PARTNERS	033	HTZ	SS	40,000	26.08	n/a	n/a	1,200.00	0.0
HARVEST MGMT	029	JCP	B	20,000	8.67	n/a	18-Jun	800.00	0.0
CR INTRINIC INVESTMENT	044	KMX	S	50,000	47.95	n/a	n/a	1,500.00	0.0
PHILADELPHIA FINANCIAL	033	KMX	SS	56,251	47.83	n/a	n/a	2,250.04	0.0
SYMPHONY ASSET	033	KORS	B	1,860	80.49	n/a	30-May	55.80	0.0
PHILADELPHIA FINANCIAL	033	LAD	SS	8,606	69.27	n/a	n/a	344.24	0.0
STRONG/MARK GRONET	030	LFL	B	17,300	15.87	n/a	n/a	692.00	0.0
HARVEST MGMT	029	LOW	B	10,000	48.46	n/a	n/a	400.00	0.0
BRONSON POINT	036	LPX	S	50,000	18.14	n/a	19-Jun	1,500.00	0.0
KLEINHEINZ CAP PART	031	LVLTT	B	50,000	32.70	n/a	n/a	2,500.00	0.0
GRUBER MACBAINE	033	MEOH	B	15,000	58.41	n/a	n/a	750.00	0.0
CORTEX CAPITAL	031	MMM	B	10,000	136.72	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYEE/TYGH	033	NAV	B	10,250	36.93	n/a	11-Jul	410.00	0.0
IMPALA ASSET MMT	040	POT	B	250,000	32.49	n/a	n/a	10,000.00	0.0
MADISON ST PARTNERS LLC	046	P	B	40,000	29.49	n/a	n/a	2,000.00	0.0
DONALD SMITH	088	RCL	S	42,700	47.20	n/a	n/a	1,281.00	0.0
INTERVAL PARTNERS	033	TGT	S	10,000	61.92	n/a	23-May	300.00	0.0
HARVEST MGMT	029	VFC	S	10,000	60.76	n/a	12-Jun	400.00	0.0
SYMPHONY ASSET	033	WWAV	B	5,550	22.17	n/a	n/a	166.50	0.0
<b>TOTAL (Trade Date) :</b>								<b>52,843.58</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/20	FORWARD MGMT (FORWSIF)	033	BEE	S	50,000	9.46	n/a	n/a	2000.00 0.0
AO,CXL	12/20	FORWARD MGMT (FORWSCEQFD)	033	BEE	S	50,000	9.46	n/a	n/a	2000.00 0.0
AO,CXL	12/20	DC CAPITAL (DCCAGOLDMA)	044	JNY	S	27,500	14.81	n/a	2-May	1100.00 0.0
AO,	12/20	DC CAPITAL (DCCAGOLDMA)	044	JNY	S	27,500	14.81	n/a	2-May	825.00 0.0
AO,	12/20	IRIDIAN ASSET MGMT. (IRAM285)	036	LSI	S	100	10.95	n/a	n/a	5.00 0.0
AO,CXL	12/20	IRIDIAN ASSET MGMT. (IRAM285)	036	LSI	S	100	10.95	n/a	n/a	5.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-275.00</b>
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TOTAL (Trade Date) :	52,843.58
TOTAL (AO, CXL, CRT) :	-275.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>52,568.58</b>
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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