



## Daily Compliance Activity Report

Trade Date: 11/12/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	ABB	B	25,000	25.03	n/a	n/a	1,000.00	0.0
PALISADE CAPITAL MANAGEMENT LLC025		ALJ	B	6,500	11.88		n/a	n/a	260.00 0.0
CENTURION PARTNERS	041	ALL	S	15,000	53.43	n/a	n/a	600.00	0.0
HOLLIS CAPITAL	033	APC	S	5,000	89.99	n/a	13-Jun	250.00	0.0
WADDELL AND REED	047	ATML	S	382,100	7.19	n/a	n/a	15,284.00	0.0
MOORE CAPITAL	257	CAT	SS	25,000	83.68	n/a	11-Jul	750.00	0.0
KEY ASSET MGMT/VICTORY	220	CHRW	B	106,240	59.06	n/a	n/a	4,249.60	0.0
PARKWEST	084	CKEC	S	4,200	23.32	n/a	n/a	168.00	0.0
SAC CHRIS C	041	CYNO	S	25,000	24.01	n/a	n/a	750.00	0.0
ZWEIG FUNDS	006	DAL	B	100,000	27.93	n/a	18-Jun	5,000.00	0.0
LOMAS CAPITAL	040	DHI	B	100,000	18.74	n/a	n/a	3,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	EMC	B	61,300	24.22	n/a	26-Feb	2,452.00	0.0
ROTHSCHILD ASSET	040	ENS	S	7,099	67.37	n/a	n/a	283.96	0.0
CAMBIAR CAP	046	FINL	S	117,881	24.85	n/a	19-Jun	4,715.24	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FINL	B	20,000	24.72	n/a	19-Jun	800.00	0.0
SCOPUS FUND	041	FIVE	B	25,000	51.92	n/a	13-Jun	1,000.00	0.0
CENTURION PARTNERS	041	GM	B	20,000	36.70	n/a	19-Jun	800.00	0.0
BTG PACTUAL	040	JBLU	S	100,000	8.18	n/a	18-Jun	3,000.00	0.0
ELM RIDGE ADVISORS	044	JBL	S	11,804	20.71	n/a	n/a	472.16	0.0
ELM RIDGE ADVISORS	044	JPM	S	4,261	54.00	n/a	17-Jun	170.44	0.0
S.A.C. CAPITAL	041	JWN	SS	20,000	62.45	n/a	18-Jun	600.00	0.0
ELM RIDGE ADVISORS	044	KSS	S	5,227	57.56	n/a	18-Jun	209.08	0.0
S.A.C. CAPITAL	044	KSS	B	20,000	57.63	n/a	18-Jun	600.00	0.0
S.A.C. CAPITAL	044	KS	SS	20,000	51.20	n/a	n/a	600.00	0.0
T. ROWE PRICE	243	KS	B	180,128	51.02	n/a	n/a	7,205.12	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	15,000	40.50	n/a	6-May	750.00	0.0
EMPYREAN CAPITAL	084	LCC	B	100,000	22.99	n/a	18-Jun	3,000.00	0.0
PAR CAPITAL	029	LCC	S	150,000	23.03	n/a	18-Jun	6,000.00	0.0
STRONG/MARK GRONET	030	LCC	B	20,000	23.42	n/a	18-Jun	800.00	0.0
STRONG/MARK GRONET	030	LFL	B	45,400	16.50	n/a	n/a	1,816.00	0.0
ELM RIDGE ADVISORS	044	LLY	S	7,780	50.10	n/a	n/a	311.20	0.0
NEUBERGER BERMAN	036	MDLZ	B	15,000	32.46	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	MSFT	B	15,000	37.38	n/a	n/a	600.00	0.0
COLUMBUS CIRCLE	036	MTH	S	3,793	41.21	n/a	n/a	151.72	0.0
ROSEDALE CAPITAL	046	NEM	B	10,000	26.93	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	NFG	B	10,000	70.63	n/a	n/a	400.00	0.0
THREE G	041	OC	B	131,874	35.69	n/a	n/a	3,956.22	0.0
NEUBERGER BERMAN	036	PFE	B	15,000	31.45	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	POOL	B	5,076	53.88	n/a	n/a	203.04	0.0
NEUBERGER BERMAN	036	RRC	B	10,000	74.55	n/a	13-Jun	400.00	0.0
FSI GROUP, LLC	047	RWT	S	72,770	17.98	n/a	n/a	2,910.80	0.0
STATE OF WISCONSIN	047	RWT	S	37,230	17.98	n/a	n/a	1,489.20	0.0
COLUMBUS CIRCLE	036	SFLY	B	2,783	48.78	n/a	n/a	111.32	0.0
WILLIAMS TRADING/FOX POINT025		SIRI	B	100,000	3.71	n/a	n/a	4,000.00	0.0
THREE G	041	SPY	SS	26,505	177.09	n/a	n/a	795.15	0.0
SAC CHRIS C	041	THOR	SS	25,000	42.01	n/a	n/a	750.00	0.0
TROUBH PART	070	TOL	B	25,000	32.26	n/a	n/a	1,250.00	0.0
FRED ALGER MGMT	300	TYC	S	450	36.35	n/a	26-Apr	16.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	UNP	B	45,000	156.64	n/a	n/a	1,800.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	WTR	B	3,000	25.05		n/a	n/a	120.00 0.0
WOOSTER CAPITAL	044	WY	B	25,000	29.12	n/a	19-Jun	1,250.00	0.0
<b>TOTAL (Trade Date):</b>								<b>88,700.45</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/07	AMICI CAPITAL N/C (PORTGS)	044	DAL	S	76,700	26.82	n/a	18-Jun	3068.00 0.0
AO,CXL	11/07	AMICI CAPITAL N/C (PORTMS)	044	DAL	S	80,000	26.82	n/a	18-Jun	3200.00 0.0
AO,	11/07	AMICI CAPITAL N/C (PORTMS)	044	DAL	S	3,300	26.82	n/a	18-Jun	132.00 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1143)	046	FINL	S	2,620	24.80	n/a	19-Jun	104.80 0.0
AO,	11/11	CAMBIAR CAP (CAMB1143)	046	FINL	S	2,626	24.80	n/a	19-Jun	105.04 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1451)	046	FINL	S	890	24.80	n/a	19-Jun	35.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1451)	046	FINL	S	896	24.80	n/a	19-Jun	35.84 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB412)	046	FINL	S	73,290	24.80	n/a	19-Jun	2931.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB412)	046	FINL	S	73,295	24.80	n/a	19-Jun	2931.80 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1414)	046	FINL	S	2,590	24.80	n/a	19-Jun	103.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1414)	046	FINL	S	2,595	24.80	n/a	19-Jun	103.80 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB600)	046	FINL	S	60	24.80	n/a	19-Jun	2.40 0.0
AO,	11/11	CAMBIAR CAP (CAMB600)	046	FINL	S	56	24.80	n/a	19-Jun	2.24 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1412)	046	FINL	S	1,600	24.80	n/a	19-Jun	64.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1412)	046	FINL	S	1,604	24.80	n/a	19-Jun	64.16 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1410)	046	FINL	S	3,250	24.80	n/a	19-Jun	130.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1410)	046	FINL	S	3,256	24.80	n/a	19-Jun	130.24 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1385)	046	FINL	S	70	24.80	n/a	19-Jun	2.80 0.0
AO,	11/11	CAMBIAR CAP (CAMB1385)	046	FINL	S	71	24.80	n/a	19-Jun	2.84 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1389)	046	FINL	S	1,990	24.80	n/a	19-Jun	79.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1389)	046	FINL	S	1,989	24.80	n/a	19-Jun	79.56 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1377)	046	FINL	S	590	24.80	n/a	19-Jun	23.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1377)	046	FINL	S	590	24.80	n/a	19-Jun	23.60 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1371)	046	FINL	S	27,340	24.80	n/a	19-Jun	1093.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1371)	046	FINL	S	27,339	24.80	n/a	19-Jun	1093.56 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1333)	046	FINL	S	58	24.80	n/a	19-Jun	2.32 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	CAMBIAR CAP (CAMB1333)	046	FINL	S	54	24.80	n/a	19-Jun	2.16 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1332)	046	FINL	S	250	24.80	n/a	19-Jun	10.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1332)	046	FINL	S	244	24.80	n/a	19-Jun	9.76 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1321)	046	FINL	S	40	24.80	n/a	19-Jun	1.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1321)	046	FINL	S	40	24.80	n/a	19-Jun	1.60 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1260)	046	FINL	S	2,090	24.80	n/a	19-Jun	83.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1260)	046	FINL	S	2,092	24.80	n/a	19-Jun	83.68 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1252)	046	FINL	S	50	24.80	n/a	19-Jun	2.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1252)	046	FINL	S	51	24.80	n/a	19-Jun	2.04 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1251)	046	FINL	S	130	24.80	n/a	19-Jun	5.20 0.0
AO,	11/11	CAMBIAR CAP (CAMB1251)	046	FINL	S	126	24.80	n/a	19-Jun	5.04 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1200)	046	FINL	S	610	24.80	n/a	19-Jun	24.40 0.0
AO,	11/11	CAMBIAR CAP (CAMB1200)	046	FINL	S	605	24.80	n/a	19-Jun	24.20 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1188)	046	FINL	S	290	24.80	n/a	19-Jun	11.60 0.0
AO,	11/11	CAMBIAR CAP (CAMB1188)	046	FINL	S	284	24.80	n/a	19-Jun	11.36 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1187)	046	FINL	S	400	24.80	n/a	19-Jun	16.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1187)	046	FINL	S	394	24.80	n/a	19-Jun	15.76 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1179)	046	FINL	S	260	24.80	n/a	19-Jun	10.40 0.0
AO,	11/11	CAMBIAR CAP (CAMB1179)	046	FINL	S	260	24.80	n/a	19-Jun	10.40 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1166)	046	FINL	S	320	24.80	n/a	19-Jun	12.80 0.0
AO,	11/11	CAMBIAR CAP (CAMB1166)	046	FINL	S	315	24.80	n/a	19-Jun	12.60 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1152)	046	FINL	S	120	24.80	n/a	19-Jun	4.80 0.0
AO,	11/11	CAMBIAR CAP (CAMB1152)	046	FINL	S	118	24.80	n/a	19-Jun	4.72 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1160)	046	FINL	S	650	24.80	n/a	19-Jun	26.00 0.0
AO,	11/11	CAMBIAR CAP (CAMB1160)	046	FINL	S	652	24.80	n/a	19-Jun	26.08 0.0
AO,CXL	11/11	CAMBIAR CAP (CAMB1448)	046	FINL	S	1,960	24.80	n/a	19-Jun	78.40 0.0
AO,	11/11	CAMBIAR CAP (CAMB1448)	046	FINL	S	1,966	24.80	n/a	19-Jun	78.64 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

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TOTAL (Trade Date):	88,700.45
TOTAL (AO, CXL, CRT):	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>88,700.45</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