



Daily Compliance Activity Report

Trade Date: 08/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIFTH THIRD BANK/FREEMAN	047	AGNC	S	36,904	21.52	n/a	n/a	1,476.16	0.0
SCOPUS FUND	041	ANN	B	25,000	33.45	n/a	n/a	1,000.00	0.0
NEWLAND CAPITAL MGT	025	AXL	B	2,700	19.36	n/a	19-Jun	108.00	0.0
SCOPUS FUND	041	BWS	B	50,000	22.12	n/a	n/a	2,000.00	0.0
MERRILL ASSET/BLACKROCK	085	CFR	S	14,612	71.99	n/a	n/a	584.48	0.0
FIFTH THIRD BANK/FREEMAN	047	CTL	S	43,959	32.88	n/a	n/a	1,758.36	0.0
RAINIER INV MGMT	033	CTRX	B	50,920	55.34	n/a	n/a	2,036.80	0.0
HOLLIS CAPITAL	033	CVC	S	5,000	18.31	n/a	n/a	250.00	0.0
RIDGECREST INV MGMT LLC	028	C	B	2,500	49.82	n/a	17-Jun	100.00	0.0
MASTERS CAPITAL MANAGE	025	DAL	B	25,000	19.11	n/a	18-Jun	1,000.00	0.0
WELLSPRING CAPITAL	093	DAL	B	20,000	19.48	n/a	18-Jun	800.00	0.0
CORNERSTONE	030	DKS	S	17,787	47.96	n/a	19-Jun	533.61	0.0
KEY ASSET MGMT/VICTORY	220	DKS	B	159,402	47.85	n/a	19-Jun	6,376.08	0.0
NEUBERGER BERMAN	036	FFIN	B	9,852	59.77	n/a	n/a	394.08	0.0
BRONSON POINT	036	GM	B	25,000	34.71	n/a	19-Jun	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIDE POINT CAPITAL	028	GM	S	20,000	34.64	n/a	19-Jun	600.00	0.0
WAGONHOUND/NICOLAS	033	HBI	B	3,982	60.07	n/a	3-May	159.28	0.0
STANDARD PACIFIC CAPITAL	084	HDS	S	80,240	23.08	n/a	n/a	4,012.00	0.0
TUDOR INVESTORS	028	ITB	SS	10,000	20.71	n/a	n/a	300.00	0.0
WELLSPRING CAPITAL	093	JBLU	B	30,000	6.26	n/a	18-Jun	1,200.00	0.0
BERYLSON CAPITAL	030	JCP	B	257,200	13.39	n/a	18-Jun	7,716.00	0.0
CENTURION PARTNERS	041	JCP	B	50,000	13.06	n/a	18-Jun	2,000.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	46,900	85.52	n/a	n/a	1,876.00	0.0
MASTERS CAPITAL MANAGE	025	LCC	B	30,000	15.81	n/a	18-Jun	1,200.00	0.0
INTERVAL PARTNERS	033	LOW	B	71,000	44.15	n/a	n/a	2,130.00	0.0
CAPITAL WORLD	084	LUV	S	153,411	13.20	n/a	18-Jun	5,369.39	0.0
NEUBERGER BERMAN	036	LXU	S	14,781	30.72	n/a	n/a	591.24	0.0
SIGMA CAP BOBBY	044	MNK	B	20,000	43.03	n/a	n/a	600.00	0.0
BALYASNY ASSET MGMT	044	M	B	25,000	45.43	n/a	18-Jun	1,250.00	0.0
INTERVAL PARTNERS	033	M	C	23,331	45.08	n/a	18-Jun	699.93	0.0
Ö Jack Chernus		NLSN	S	1000	33.9500	n/a	n/a	0.00	0.0
CORNERSTONE	030	PVH	B	6,756	127.15	n/a	14-Jun	202.68	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	RDEN	B	59,452	35.06	n/a	17-Jun	2,378.08	0.0
Õ Jack Chernus		SBUX	S	5	0.5800	n/a	17-Jun	0.00	0.0
CYRUS CAPITAL	025	SEE	B	15,000	28.85	n/a	2-Jun	450.00	0.0
SIGMA CAP BOBBY	044	SNY	B	40,000	51.85	n/a	n/a	1,200.00	0.0
MOORE CAPITAL	257	SPY	B	200,000	165.23	n/a	n/a	6,000.00	0.0
KLEINHEINZ CAP PART	031	SU	SS	100,000	33.65	n/a	n/a	5,000.00	0.0
COLUMBUS CIRCLE	036	TMHC	S	14,000	20.09	n/a	n/a	560.00	0.0
CORTEX CAPITAL	031	TRLA	SS	8,000	43.06	n/a	n/a	240.00	0.0
RIDGECREST INV MGMT LLC	028	TRN	B	2,500	41.54	n/a	n/a	100.00	0.0
NEUBERGER BERMAN	036	TSS	S	12,975	28.20	n/a	n/a	519.00	0.0
KEYGROUP/KGLT	040	VALE	B	25,000	15.07	n/a	n/a	1,000.00	0.0
MERRILL ASSET/BLACKROCK	085	V	B	5,800	173.77	n/a	11-Jun	232.00	0.0
APEX CAPITAL MGMT.	033	ZNGA	B	300,000	2.75	n/a	n/a	6,000.00	0.0
WELLSPRING CAPITAL	093	ZNGA	B	30,000	2.80	n/a	n/a	1,200.00	0.0
TOTAL (Trade Date):								73,953.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	SCOPUS FUND (SCOPCS)	041	DG	B	111,672	53.98	n/a	4-Jun	4466.88 0.0
AO,	08/19	SCOPUS FUND (SCOPCS)	041	DG	B	111,672	53.98	n/a	4-Jun	4466.88 0.0
AO,CXL	08/19	SCOPUS FUND (SCOPGS)	041	DG	B	7,128	53.98	n/a	4-Jun	285.12 0.0
AO,	08/19	SCOPUS FUND (SCOPUBS)	041	DG	B	7,128	53.98	n/a	4-Jun	285.12 0.0
AO,CXL	08/16	PEAK INV/OAKMONT/CYPRESS (PEAKOAKUST)	084	LCC	S	50,600	16.16	n/a	18-Jun	2024.00 0.0
AO,	08/16	PEAK INV/OAKMONT/CYPRESS (PEAKOAKUST)	084	LCC	S	50,600	16.16	n/a	18-Jun	2024.00 0.0
AO,CXL	08/19	KORT (KORTGS)	025	SEE	B	30,000	28.88	n/a	2-Jun	900.00 0.0
AO,	08/19	CYRUS CAPITAL (CYRUGS)	025	SEE	B	30,000	28.88	n/a	2-Jun	900.00 0.0
AO,CXL	08/16	TUDOR INVESTORS (TUDRJMPMB)	028	TEX	B	5,000	31.98	n/a	n/a	1.50 0.0
AO,	08/16	TUDOR INVESTORS (TUDRJMPMB)	028	TEX	B	5,000	31.98	n/a	n/a	150.00 0.0
AO,CXL	08/16	KORT (KORTGS)	025	WY	B	25,000	27.47	n/a	19-Jun	750.00 0.0
AO,	08/16	CYRUS CAPITAL (CYRUGS)	025	WY	B	25,000	27.47	n/a	19-Jun	750.00 0.0

TOTAL (AO, CXL, CRT) :**148.50**

TOTAL (Trade Date) :

73,953.17

TOTAL (AO, CXL, CRT) :

148.50

TOTAL (RUN DATE) / NFS:**74,101.67**

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