



Daily Compliance Activity Report

Trade Date: 10/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	ACOR	SS	30,544	33.40	n/a	n/a	916.32	0.0
PRIMECAP MGMT	084	AFFX	B	5,000	6.48	n/a	n/a	150.00	0.0
IONIC CAPITAL MANAGEMENT	041	AIZ	SS	33,000	57.88	n/a	n/a	990.00	0.0
FRED ALGER MGMT	300	ANN	S	225	34.30	n/a	n/a	8.10	0.0
HARVEST MGMT (JMP)	029	BBBY	B	10,000	77.24	n/a	n/a	400.00	0.0
OZ MGMT	040	CAKE	SS	25,000	43.38	n/a	25-Apr	750.00	0.0
BALYASNY ASSET MGMT	044	CASY	SS	25,000	72.67	n/a	n/a	1,250.00	0.0
SANDLER O'NEILL ASSET	031	DFS	S	30,000	52.15	n/a	19-Jun	1,500.00	0.0
FRED ALGER MGMT	300	DPZ	S	44,590	68.34	n/a	10-May	1,605.24	0.0
ADAGE CAPITAL MGMT	030	DRC	B	496	61.80	n/a	n/a	14.88	0.0
BTG PACTUAL	040	DRI	B	2,000	50.22	n/a	17-Jun	60.00	0.0
FRED ALGER MGMT	300	DSW	B	210	84.77	n/a	11-Feb	7.56	0.0
• Jack Chernus		FOE	B	2000	10.0690	n/a	n/a	0.00	0.0
• Jack Chernus		FOE	B	500	10.0700	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	GOOG	B	2,065	870.75	n/a	n/a	74.34	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CR INTRINIC INVESTMENT	044	GT	B	25,000	22.60	n/a	n/a	750.00	0.0	
MERRILL ASSET/BLACKROCK	085	HIG	S	16,900	32.85	n/a	n/a	676.00	0.0	
SUFFOLK CAPITAL MGMT	040	HPQ	S	82,700	22.53	n/a	n/a	3,308.00	0.0	
WHITE PINE CAPITAL	030	IJR	C	16,717	101.51	n/a	n/a	835.85	0.0	
WHITE PINE CAPITAL	030	IWM	SS	15,700	108.00	n/a	n/a	785.00	0.0	
SUFFOLK CAPITAL MGMT	040	JBLU	S	50,000	6.92	n/a	18-Jun	1,500.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	JCP	SS	500,000	7.90	n/a	18-Jun	15,000.00	0.0
TIDE POINT CAPITAL	028	LEA	B	10,000	73.28	n/a	19-Jun	500.00	0.0	
IVORY CAPITAL	084	LINTA	S	100,000	25.93	n/a	n/a	5,000.00	0.0	
RIDGECREST INV MGMT LLC	028	LPX	B	5,000	17.70	n/a	19-Jun	200.00	0.0	
BALYASNY ASSET MGMT	044	MUSA	SS	25,000	41.28	n/a	n/a	1,250.00	0.0	
GABELLI FUNDS	025	M	B	25,000	42.56	n/a	18-Jun	750.00	0.0	
LATEEF MGMT	033	M	B	4,500	42.60	n/a	18-Jun	360.00	0.0	
FRED ALGER MGMT	300	NCLH	S	45,505	30.31	n/a	n/a	1,638.18	0.0	
HOLLIS CAPITAL	033	NVDA	S	5,000	15.46	n/a	n/a	250.00	0.0	
PRIMECAP MGMT	084	ORCL	S	375,087	33.31	n/a	n/a	15,003.48	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	PBPB	S	735	26.23	n/a	n/a	26.46	0.0
BTG PACTUAL	040	PNRA	B	5,000	159.41	n/a	10-Jun	150.00	0.0
IONIC CAPITAL MANAGEMENT	041	PRU	B	21,000	80.27	n/a	n/a	630.00	0.0
PRIMECAP MGMT	084	QGEN	B	5,000	20.78	n/a	n/a	200.00	0.0
BADGE CAPITAL	030	RGC	B	2,000	18.58	n/a	n/a	70.00	0.0
PRIMECAP MGMT	084	SNDK	B	29	61.95	n/a	n/a	1.16	0.0
PRIMECAP MGMT	084	SYMC	S	415,575	25.17	n/a	n/a	16,623.00	0.0
MSF CAPITAL(ENTRUST)	040	TFX	S	16,211	84.42	n/a	n/a	810.55	0.0
MERRILL ASSET/BLACKROCK	085	TRV	S	9,700	84.52	n/a	n/a	388.00	0.0
RIDGECREST INV MGMT LLC	028	USG	S	5,000	27.31	n/a	29-Apr	200.00	0.0
MARCATO CAPITAL MGMT.	029	VXX	B	1,000,000	15.12	n/a	n/a	40,000.00	0.0
TOTAL (Trade Date) :							114,632.12		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/11	S.A.C. CAPITAL (SACCCITG)	044	VVUS	SS	15,000	11.19	n/a	n/a	3450.00 0.0
AO,CRT	10/11	S.A.C. CAPITAL (SACCCITG)	044	VVUS	SS	15,000	11.19	n/a	n/a	450.00 3.0

TOTAL (AO, CXL, CRT) :	-3,000.00
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TOTAL (Trade Date) :	114,632.12
TOTAL (AO, CXL, CRT) :	-3,000.00

TOTAL (RUN DATE) / NFS:	111,632.12
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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