



Daily Compliance Activity Report

Trade Date: 08/08/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SLS CAPITAL LLC	006	ALR	B	119,293	29.84	n/a	n/a	4,771.72	0.0
MACELLUM CAPITAL	086	ANF	B	20,000	48.86	n/a	n/a	600.00	0.0
CENTURION PARTNERS	041	ARCO	B	30,000	13.59	n/a	2-May	1,200.00	0.0
SENATOR INVESTMENT GROUP	287	ASH	S	20,000	88.77	n/a	n/a	600.00	0.0
BRONSON POINT	036	ATI	B	25,000	27.59	n/a	11-Jun	750.00	0.0
MAPLE ROW	006	AXL	B	5,000	20.19	n/a	19-Jun	250.00	0.0
CADIAN CAPITAL	041	AZO	SS	2,100	430.52	n/a	n/a	63.00	0.0
IMPALA ASSET MMT	040	BA	B	4,500	106.34	n/a	11-Jun	225.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	COF	B	10,100	68.56	n/a	19-Jun	303.00	0.0
ARDSLEY PARTNERS	280	CTB	SS	10,000	33.48	n/a	n/a	500.00	0.0
SCOGGIN LLC	041	CVS	S	46,000	59.19	n/a	n/a	2,300.00	0.0
MOORE CAPITAL	257	EWZ	S	40,000	43.84	n/a	n/a	1,200.00	0.0
RIDGECREST INV MGMT LLC	028	EXPD	B	7,500	41.14	n/a	n/a	300.00	0.0
CENTURION PARTNERS	041	FB	B	20,000	38.95	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	FCX	B	100	30.90	n/a	n/a	5.00	0.0	
PROVIDENCE EQUITY CAP. MKTS.040		FSL	S	23,118	15.68	n/a	n/a	693.54	0.0	
JET CAPITAL/CHRIS	041	GEO	S	13,000	35.16	n/a	n/a	390.00	0.0	
CADIAN CAPITAL	041	GMCR	SS	55,000	78.09	n/a	n/a	1,650.00	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	35.72	n/a	19-Jun	300.00	0.0	
GLOBAL 56 LLC	060	HSC	S	5,000	25.20	n/a	9-May	150.00	0.0	
CENTURION PARTNERS	041	ING	B	40,000	11.37	n/a	n/a	1,600.00	0.0	
STELLIAM INV ADV	086	INTC	S	100,000	22.45	n/a	n/a	5,000.00	0.0	
JET CAPITAL/CHRIS	041	IYR	C	13,290	65.37	n/a	n/a	398.70	0.0	
PROSPECTOR PARTNERS LLC	036	JNJ	S	5,000	93.00	n/a	n/a	200.00	0.0	
PATTEN & PATTEN	025	KEG	B	300	6.37	n/a	13-Jun	15.00	0.0	
NEUBERGER BERMAN	036	LPI	B	43,450	24.85	n/a	n/a	1,738.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	LPX	B	288,000	17.41	n/a	19-Jun	8,640.00	0.0
BASSWOOD PARTNERS	267	MS	B	10,059	26.83	n/a	6-Jun	402.36	0.0	
BALYASNY ASSET MGMT	044	M	C	80,000	48.15	n/a	18-Jun	4,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	M	B	41,238	48.12	n/a	18-Jun	1,649.52	0.0
SCOPUS FUND	041	PPG	S	7,000	160.80	n/a	n/a	280.00	0.0
PROSPECTOR PARTNERS LLC	036	PTP	S	10,000	58.39	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	QGEN	B	2,000	21.53	n/a	n/a	80.00	0.0
1798 CAP/LOMBARD ASSET	040	RBA	SS	10,000	19.54	n/a	n/a	500.00	0.0
NWQ INVESTMENT MGMT CO	084	RDEN	B	14,995	32.21	n/a	17-Jun	524.83	0.0
COUGAR TRADING	044	RTH	SS	10,000	55.11	n/a	n/a	500.00	0.0
IMPALA ASSET MMT	040	RYL	B	12,700	37.13	n/a	n/a	635.00	0.0
IMPALA ASSET MMT	040	R	B	1,049	60.99	n/a	n/a	52.45	0.0
PROSPECTOR PARTNERS LLC	036	TE	S	10,000	17.83	n/a	n/a	400.00	0.0
IMPALA ASSET MMT	040	TRW	B	6,700	71.21	n/a	n/a	335.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	UAL	B	13,900	34.60	n/a	18-Jun	417.00	0.0
SYMPHONY ASSET	033	UNG	C	27,640	17.24	n/a	n/a	829.20	0.0
IMPALA ASSET MMT	040	UNP	B	700	160.76	n/a	n/a	35.00	0.0
IMPALA ASSET MMT	040	URI	B	3,530	56.19	n/a	17-Apr	176.50	0.0
CADIAN CAPITAL	041	VFC	S	7,500	199.41	n/a	12-Jun	225.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEYGROUP/KGLT	040	VLO	S	25,000	36.55	n/a	n/a	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	VOD	S	64,701	30.60	n/a	n/a	1,941.03	0.0
LEVIN CAPITAL STRATEGIES	041	VZ	C	31,057	49.59	n/a	n/a	931.71	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	8,900	24.32		n/a	267.00	0.0
OSKIE CAPITAL MGMT	224	WY	B	10,000	27.37	n/a	19-Jun	500.00	0.0
MOORE CAPITAL	257	XRT	B	100,000	81.70	n/a	n/a	3,000.00	0.0
TOTAL (Trade Date) :								53,724.56	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/07	ROSEDALE CAPITAL (ROSEJPM)	046	GM	B	10,000	35.65	n/a	19-Jun	400.00 0.0
AO,	08/07	ROSEDALE CAPITAL (ROSEJPM)	046	GM	B	10,000	35.65	n/a	19-Jun	500.00 0.0
AO,CXL	08/07	FIRST NEW YORK (FNYS)	086	NOK	B	10,000	4.11	n/a	n/a	500.00 0.0
AO,CRT	08/07	FIRST NEW YORK (FNYS)	086	NOK	B	10,000	4.11	n/a	n/a	400.00 4.0
AO,	08/07	PIMCO (PIMC4975)	084	SAVE	S	60,000	33.83	n/a	18-Jun	2400.00 0.0
AO,CXL	08/07	PIMCO (PIMC4975G)	084	SAVE	S	60,000	33.83	n/a	18-Jun	1800.00 0.0

TOTAL (AO, CXL, CRT) :	600.00
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TOTAL (Trade Date) :	53,724.56
TOTAL (AO, CXL, CRT) :	600.00

TOTAL (RUN DATE) / NFS :	54,324.56
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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