



Daily Compliance Activity Report

Trade Date: 11/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	AEGR	S	2,501	71.08	n/a	n/a	100.04	0.0
FORWARD MGMT	033	AFCE	S	5,000	42.85	n/a	n/a	200.00	0.0
RIDGECREST INV MGMT LLC	028	ALU	S	15,000	4.03	n/a	n/a	300.00	0.0
PALESTRA	040	ARCP	S	185,400	13.10	n/a	n/a	5,562.00	0.0
RIVERLOFT CAPITAL	044	BAC	B	100,000	15.13	n/a	17-Jun	2,000.00	0.0
RIDGECREST INV MGMT LLC	028	BX	B	10,000	27.69	n/a	n/a	400.00	0.0
CASTLEROCK	040	CAKE	B	2,500	48.08	n/a	25-Apr	50.00	0.0
MOORE CAPITAL	257	CAT	C	25,000	84.90	n/a	11-Jul	750.00	0.0
J. GOLDMAN	028	CCK	B	21,000	43.93	n/a	n/a	840.00	0.0
FORWARD MGMT	033	CDE	S	10,000	11.11	n/a	n/a	400.00	0.0
HERRING CREEK CAPITAL	040	COF	B	18,929	69.94	n/a	19-Jun	567.87	0.0
SENATOR INVESTMENT GROUP	287	CPRT	B	200,000	32.91	n/a	n/a	6,000.00	0.0
BRONSON POINT	036	CX	B	50,000	10.77	n/a	n/a	1,500.00	0.0
FORWARD MGMT	033	EDR	S	20,000	8.77	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORWARD MGMT	033	ENPH	B	20,000	7.66	n/a	n/a	800.00	0.0
NEWLAND CAPITAL MGT	025	FCX	SS	15,000	36.71	n/a	n/a	600.00	0.0
MOORE CAPITAL	257	F	C	100,000	17.13	n/a	19-Jun	3,000.00	0.0
COUGAR TRADING	044	GES	SS	5,000	34.53	n/a	31-May	250.00	0.0
SIGMA CAPITAL ASSOCIATES	041	GES	B	100,010	34.54	n/a	31-May	3,000.30	0.0
FORTRESS INVESTMENT (US)	036	GM	B	90,000	38.55	n/a	19-Jun	3,600.00	0.0
MOORE CAPITAL	257	GM	S	50,000	38.62	n/a	19-Jun	1,500.00	0.0
TROUBH PART	070	GM	S	25,000	38.63	n/a	19-Jun	1,250.00	0.0
FORWARD MGMT	033	GSIG	B	10,000	10.73	n/a	n/a	400.00	0.0
INTERVAL PARTNERS	033	HD	SS	27,500	79.76	n/a	n/a	825.00	0.0
LOCUST WOOD CAPITAL MGMT	044	HES	S	21,150	81.80	n/a	n/a	846.00	0.0
LISTED ERR	099	HES	B	12,541	81.76	n/a	n/a	0.00	0.0
LISTED ERR	099	HES	S	12,541	81.77	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	6	0.5700	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	6	0.5700	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	S	7	0.5600	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	HUBG	S	85,000	36.94	n/a	n/a	3,400.00	0.0
STELLIAM INV ADV	086	IBM	SS	30,000	184.45	n/a	n/a	1,200.00	0.0
RIDGECREST INV MGMT LLC	028	IDCC	B	1,300	32.99	n/a	n/a	52.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORTRESS INVESTMENT (US)	036	IP	SS	90,000	45.43	n/a	17-Jun	3,600.00	0.0
LISTED ERR	099	IP	B	100	45.36	n/a	17-Jun	0.00	0.0
LISTED ERR	099	IP	S	100	45.34	n/a	17-Jun	0.00	0.0
FRED ALGER MGMT	300	JPM	B	97,120	55.58	n/a	17-Jun	3,496.32	0.0
TROUBH PART	070	JPM	S	10,000	55.82	n/a	17-Jun	500.00	0.0
DAVIDSON KEMPNER ADVISOR	281	JWN	C	25,000	62.44	n/a	18-Jun	1,250.00	0.0
FORWARD MGMT	033	KOG	S	30,000	11.63	n/a	n/a	1,200.00	0.0
FORWARD MGMT	033	LPI	S	4,900	28.18	n/a	n/a	196.00	0.0
STELLIAM INV ADV	086	MU	S	45,000	19.73	n/a	n/a	1,800.00	0.0
ROSEDALE CAPITAL	046	NEM	B	10,000	27.10	n/a	n/a	400.00	0.0
FORWARD MGMT	033	NPTN	S	30,000	5.65	n/a	n/a	1,200.00	0.0
FRED ALGER MGMT	300	OI	S	17,900	33.34	n/a	n/a	644.40	0.0
FORWARD MGMT	033	PAY	B	7,500	24.34	n/a	n/a	300.00	0.0
CADIAN CAPITAL	041	PETM	C	26,500	74.62	n/a	n/a	795.00	0.0
FORWARD MGMT	033	PPS	S	5,000	44.09	n/a	n/a	200.00	0.0
NEWLAND CAPITAL MGT	025	REGI	B	5,000	11.72	n/a	n/a	200.00	0.0
Ö Jack Chernus		SAVE	S	10	1.5000	n/a	18-Jun	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	SHOO	B	5,000	38.49	n/a	n/a	200.00	0.0
J. GOLDMAN	028	TAM	SS	9,500	20.69	n/a	n/a	380.00	0.0
DAVIDSON KEMPNER ADVISOR	281	TGT	C	25,000	66.40	n/a	23-May	1,250.00	0.0
CHARTERBRIDGE CAPITAL	025	TTS	B	30,000	16.08	n/a	n/a	900.00	0.0
CHARTERBRIDGE CAPITAL	025	TWTR	SS	20,000	43.31	n/a	n/a	600.00	0.0
FORWARD MGMT	033	UMPQ	B	15,000	17.16	n/a	n/a	600.00	0.0
MACELLUM CAPITAL	086	URBN	B	58,000	39.82	n/a	n/a	1,740.00	0.0
FORTRESS INVESTMENT (US)	036	WHR	SS	27,000	150.79	n/a	n/a	1,080.00	0.0
TIDE POINT CAPITAL	028	WY	B	15,000	29.64	n/a	19-Jun	450.00	0.0
FORWARD MGMT	033	XONE	B	3,500	62.37	n/a	n/a	140.00	0.0
TOTAL (Trade Date) :								63,314.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/15	PERELLA WEINBERG (PERWMS)	085	CLX	C	26,042	93.30	n/a	17-Jun	1302.10 0.0
AO,CXL	11/15	PERELLA WEINBERG (PERWMS)	085	CLX	C	3,632	93.30	n/a	17-Jun	181.60 0.0
AO,CRT	11/15	PERELLA WEINBERG (PERWMS)	085	CLX	C	26,042	93.30	n/a	17-Jun	1302.10 5.0
AO,CRT	11/15	PERELLA WEINBERG (PERWMS)	085	CLX	C	3,632	93.30	n/a	17-Jun	181.60 5.0
AO,CXL	11/15	HARVEST MGMT (HARVGSCO)	029	DLTR	B	12,000	59.95	n/a	4-Jun	600.00 0.0
AO,	11/15	HARVEST MGMT (HARVGSCO)	029	DLTR	B	12,000	59.95	n/a	4-Jun	480.00 0.0
AO,CXL	11/15	HARVEST MGMT (HARVGSCO)	029	WMT	SS	9,000	79.07	n/a	16-May	450.00 0.0
AO,	11/15	HARVEST MGMT (HARVGSCO)	029	WMT	SS	9,000	79.07	n/a	16-May	360.00 0.0
TOTAL (AO, CXL, CRT) :										-210.00

TOTAL (Trade Date):	63,314.93
TOTAL (AO, CXL, CRT):	-210.00

TOTAL (RUN DATE) / NFS:	63,104.93
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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