



Daily Compliance Activity Report

Trade Date: 10/21/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AAPL	S	500	520.12	n/a	n/a	20.00	0.0
DC CAPITAL	044	ATI	S	50,000	32.07	n/a	11-Jun	2,000.00	0.0
FRED ALGER MGMT	300	BID	B	12,370	52.22	n/a	n/a	445.32	0.0
NEUBERGER BERMAN	036	BRKB	B	5,000	116.50	n/a	n/a	200.00	0.0
J. GOLDMAN	028	CAB	S	45,250	63.54	n/a	n/a	1,810.00	0.0
NEUBERGER BERMAN	036	CAG	B	15,000	30.93	n/a	n/a	600.00	0.0
WILLIAMS TRADING/BLUE MTN	087	CCL	B	47,710	33.09	n/a	n/a	1,431.30	0.0
COLUMBUS CIRCLE	036	CLDX	S	4,100	23.50	n/a	n/a	164.00	0.0
CALA	041	COH	S	45,000	53.65	n/a	30-May	1,350.00	0.0
GALT INVESTMENT	041	CROX	S	5,633	13.71	n/a	n/a	225.32	0.0
NEUBERGER BERMAN	036	CVA	B	10,000	20.71	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	30.08	n/a	n/a	400.00	0.0
ALTIMETER CAPITAL MGMT.	029	DAL	SS	286,000	24.74	n/a	18-Jun	11,440.00	0.0
J. GOLDMAN	028	DKS	B	44,000	51.41	n/a	19-Jun	1,760.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Larry Leeds		DLIA	S	100000	1.1425	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	DLR	S	5,100	56.00	n/a	n/a	204.00	0.0
FRED ALGER MGMT	300	DWRE	B	5,630	50.92	n/a	n/a	202.68	0.0
ALTIMETER CAPITAL MGMT.	029	EXPE	B	50,000	48.10	n/a	n/a	2,000.00	0.0
ROTHSCHILD ASSET	040	FELE	S	19,344	38.85	n/a	n/a	773.76	0.0
J. GOLDMAN	028	FINL	S	28,000	24.51	n/a	19-Jun	1,120.00	0.0
SCOPUS FUND	041	F	B	100,000	17.46	n/a	19-Jun	4,000.00	0.0
LISTED ERR	099	F	B	64,759	17.52	n/a	19-Jun	0.00	0.0
LISTED ERR	099	F	S	64,759	17.47	n/a	19-Jun	0.00	0.0
BARON ASSET MGMT*	006	GRPN	B	49,000	10.60	n/a	n/a	1,470.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	2,938	27.06	n/a	n/a	88.14	0.0
TUDOR INVESTORS	028	HON	B	10,000	84.59	n/a	19-Apr	300.00	0.0
NEUBERGER BERMAN	036	HRC	B	10,000	38.96	n/a	n/a	400.00	0.0
ALLIANZ/NICOLAS APPLGATE	084	IPG	S	66,900	15.80		n/a n/a	0.00	0.0
HERRING CREEK CAPITAL	040	JBHT	B	26,700	75.38	n/a	n/a	801.00	0.0
BTG PACTUAL	040	JBLU	S	25,000	7.28	n/a	18-Jun	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	JPM	B	15,000	54.47	n/a	17-Jun	600.00	0.0
CASTLEROCK	040	MCD	S	12,483	93.54	n/a	17-Jun	499.32	0.0
NEUBERGER BERMAN	036	MDLZ	B	10,000	32.37	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	NFG	S	5,000	69.51	n/a	n/a	200.00	0.0
BASSWOOD PARTNERS	267	NTRS	B	58,564	56.33	n/a	6-Jun	2,342.56	0.0
LATEEF MGMT	033	NUE	S	2,075	50.56	n/a	n/a	254.50	0.0
TUDOR INVESTORS	028	PH	SS	3,000	114.91	n/a	n/a	90.00	0.0
CASTLEROCK	040	PNRA	S	2,000	162.45	n/a	10-Jun	40.00	0.0
TUDOR INVESTORS	028	PNR	B	10,000	65.55	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	SIRO	B	2,000	70.00	n/a	n/a	100.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	SON	SS	15,000	40.08	n/a	n/a	450.00	0.0
ROVER CAPITAL PARTNERS	040	SPY	SS	2,000	174.47	n/a	n/a	80.00	0.0
ALTIMETER CAPITAL MGMT.	029	UAL	S	103,000	30.99	n/a	18-Jun	4,120.00	0.0
KEYGROUP/KGLT	040	UPL	SS	25,000	21.06	n/a	13-Jun	1,000.00	0.0
INTERVAL PARTNERS	033	URBN	B	20,000	36.49	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAGE ASSET MGMT	025	URI	S	4,200	64.34	n/a	17-Apr	210.00	0.0
TYVOR CAPITAL LLC	031	WAG	B	5,000	58.54	n/a	n/a	150.00	0.0
TOTAL (Trade Date):								45,791.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/18	WOOSTER CAPITAL (WOOSGOLDMA)	044	GPK	B	100,000	8.70	n/a	n/a	5000.00 0.0
AO,CRT	10/18	WOOSTER CAPITAL (WOOSGOLDMA)	044	GPK	B	100,000	8.70	n/a	n/a	3000.00 3.0
AO,CXL	10/18	NEWLAND CAPITAL MGT (NEWLGS)	025	JBLU	S	30,000	7.29	n/a	18-Jun	1200.00 0.0
AO,CRT	10/18	NEWLAND CAPITAL MGT (NEWLGS)	025	JBLU	S	30,000	7.29	n/a	18-Jun	900.00 3.0
AO,CXL	10/18	CASTLEROCK (CASTJPM)	040	MCD	B	5,000	95.15	n/a	17-Jun	200.00 0.0
AO,	10/18	CASTLEROCK (CASTJPM)	040	MCD	B	5,000	95.15	n/a	17-Jun	200.00 0.0
AO,CXL	10/18	CASTLEROCK (CASTMERRIL)	040	MCD	B	1,009	95.14	n/a	17-Jun	40.36 0.0
AO,	10/18	CASTLEROCK (CASTMERRIL)	040	MCD	B	1,009	95.15	n/a	17-Jun	40.36 0.0
AO,CXL	10/18	CASTLEROCK (CASTUBS)	040	MCD	B	6,474	95.14	n/a	17-Jun	258.96 0.0
AO,	10/18	CASTLEROCK (CASTUBS)	040	MCD	B	6,474	95.15	n/a	17-Jun	258.96 0.0

TOTAL (AO, CXL, CRT) :	-2,300.00
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TOTAL (Trade Date) :	45,791.90
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TOTAL (RUN DATE) / NFS :	43,491.90
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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