



Daily Compliance Activity Report

Trade Date: 10/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	S	250,000	6.01	n/a	n/a	7,500.00	0.0
LATEEF MGMT	033	AAPL	S	365	508.48	n/a	n/a	165.00	0.0
NEUBERGER BERMAN	036	ABB	B	15,000	23.53	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	ABB	S	5,000	23.65	n/a	n/a	200.00	0.0
STANDARD PACIFIC CAPITAL	084	ACN	SS	40,900	72.59	n/a	n/a	2,045.00	0.0
BARON ASSET MGMT*	006	ACTG	S	25,000	15.44	n/a	n/a	750.00	0.0
MOORE CAPITAL	257	ALTR	S	20,000	37.43	n/a	n/a	600.00	0.0
Õ Jack Chernus		AMRI	B	1000	13.0000	n/a	n/a	0.00	0.0
Õ Jack Chernus		AMRI	B	1000	13.1700	n/a	n/a	0.00	0.0
Õ Jack Chernus		AMRI	B	1500	13.1700	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	ATHL	S	1,143	32.94	n/a	n/a	45.72	0.0
DC CAPITAL	044	ATI	S	50,000	31.48	n/a	11-Jun	2,000.00	0.0
NEUBERGER BERMAN	036	ATVI	B	15,000	17.42	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	BA	B	5,000	122.37	n/a	11-Jun	200.00	0.0
MOORE CAPITAL	257	BC	B	10,000	44.60	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	BHI	B	20,000	55.87	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	BRCM	B	10,000	27.02	n/a	n/a	400.00	0.0
ROVER CAPITAL PARTNERS	040	BUD	SS	2,000	102.33	n/a	17-Jun	80.00	0.0
NEUBERGER BERMAN	036	CAG	B	20,000	31.23	n/a	n/a	800.00	0.0
NEUBERGER BERMAN	036	CAH	B	5,000	56.58	n/a	n/a	200.00	0.0
CASTLEROCK	040	CAKE	SS	2,500	43.64	n/a	25-Apr	100.00	0.0
EATON VANCE MGMT	029	CELG	B	185,590	159.79	n/a	n/a	5,567.70	0.0
SANDLER CAPITAL	028	CHK	C	86,130	28.32	n/a	n/a	4,306.50	0.0
MOORE CAPITAL	257	CMCSA	S	10,000	47.02	n/a	n/a	300.00	0.0
KLEINHEINZ CAP PART	031	CNX	B	25,000	37.83	n/a	n/a	1,250.00	0.0
SPARTAN	093	COH	SS	9,000	53.76	n/a	30-May	270.00	0.0
NEUBERGER BERMAN	036	CVA	B	25,000	20.78	n/a	n/a	1,000.00	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	30.12	n/a	n/a	400.00	0.0
LATEEF MGMT	033	DD	S	600	59.70	n/a	n/a	60.00	0.0
MERRILL ASSET/BLACKROCK	085	DLR	S	1,300	56.84	n/a	n/a	52.00	0.0
OZ MGMT	040	FDO	C	25,000	69.60	n/a	4-Jun	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	FIVE	B	21,000	48.89	n/a	13-Jun	630.00	0.0
INTERVAL PARTNERS	033	FOSL	S	2,500	120.41	n/a	n/a	75.00	0.0
GLOBAL 56 LLC	060	FRAN	S	2,000	17.76	n/a	n/a	100.00	0.0
EPOCH INV MGMT	030	GE	B	200,000	25.59	n/a	n/a	6,000.00	0.0
MOORE CAPITAL	257	GE	B	25,000	25.45	n/a	n/a	750.00	0.0
RIVERLOFT CAPITAL	044	GE	S	50,000	25.26	n/a	n/a	1,500.00	0.0
ALLIANZ/NICOLAS APPLGATE	084	GILD	B	150,000	67.88		n/a	n/a	1,500.00 0.0
YG PARTNERS LLC	041	GM	B	10,000	35.84	n/a	19-Jun	400.00	0.0
SCOPUS FUND	041	GPC	SS	25,000	78.43	n/a	n/a	1,000.00	0.0
WOOSTER CAPITAL	044	GPK	B	100,000	8.70	n/a	n/a	5,000.00	0.0
NEUBERGER BERMAN	036	HCA	S	5,000	47.75	n/a	n/a	200.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	6,150	27.15	n/a	n/a	184.50	0.0
S.A.C. CAPITAL	044	HD	SS	20,000	74.39	n/a	n/a	600.00	0.0
MOORE CAPITAL	257	HOG	S	10,000	65.92	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	HON	B	10,000	84.56	n/a	19-Apr	300.00	0.0
NEUBERGER BERMAN	036	HRC	B	10,000	38.77	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	HTZ	B	10,000	23.90	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	H	B	10,000	45.06	n/a	13-Jun	400.00	0.0
MAGNETAR FINANCIAL	031	IWM	SS	45,200	110.50	n/a	n/a	1,356.00	0.0
MOORE CAPITAL	257	JBHT	B	20,000	75.51	n/a	n/a	600.00	0.0
BTG PACTUAL	040	JBLU	S	25,000	7.30	n/a	18-Jun	750.00	0.0
NEWLAND CAPITAL MGT	025	JBLU	S	30,000	7.29	n/a	18-Jun	1,200.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	269,800	7.29	n/a	18-Jun	10,792.00 0.0
MAGNETAR FINANCIAL	031	JNY	B	25,771	14.98	n/a	2-May	773.13	0.0
NEUBERGER BERMAN	036	JPM	B	20,000	54.12	n/a	17-Jun	800.00	0.0
APEX CAPITAL MGMT.	033	KOG	C	175,100	13.24	n/a	n/a	7,004.00	0.0
TYVOR CAPITAL LLC	031	LL	B	6,800	106.09	n/a	n/a	204.00	0.0
MOORE CAPITAL	257	LOW	SS	20,000	47.62	n/a	n/a	600.00	0.0
S.A.C. CAPITAL	044	LOW	SS	20,000	47.86	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	MAT	B	20,000	42.83	n/a	n/a	800.00	0.0
CASTLEROCK	040	MCD	B	12,483	95.15	n/a	17-Jun	499.32	0.0
S.A.C. CAPITAL	044	MCD	SS	25,000	94.93	n/a	17-Jun	750.00	0.0
CSL ASSOCIATES	006	MLI	B	600	58.07	n/a	19-Jun	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSL ASSOCIATES	006	MLI	S	600	58.56	n/a	19-Jun	60.00	0.0
NEUBERGER BERMAN	036	MSFT	B	10,000	34.56	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	MSFT	S	10,000	34.78	n/a	n/a	400.00	0.0
INTERVAL PARTNERS	033	M	B	17,500	43.90	n/a	18-Jun	525.00	0.0
KINGDON ASSET MGMT	041	M	B	20,000	43.96	n/a	18-Jun	800.00	0.0
Õ Jack Chernus		NQ	B	500	25.0000	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OZRK	B	15,601	48.99	n/a	n/a	468.03 0.0
EVERCORE WEALTH MGMT	025	PCL	S	43,905	48.81	n/a	19-Jun	1,756.20	0.0
NEUBERGER BERMAN	036	PFE	B	10,000	30.19	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	PFE	S	10,000	30.21	n/a	n/a	400.00	0.0
MASTERS CAPITAL MANAGE	025	PHM	S	200,000	16.58	n/a	n/a	8,000.00	0.0
EATON VANCE MGMT	029	PPG	B	81,532	175.84	n/a	n/a	2,445.96	0.0
S.A.C. CAPITAL	044	PPG	S	18,900	176.02	n/a	n/a	567.00	0.0
MACELLUM CAPITAL	086	PVH	B	17,000	121.82	n/a	14-Jun	510.00	0.0
KLEINHEINZ CAP PART	031	QCOM	S	25,000	68.68	n/a	n/a	1,250.00	0.0
MOORE CAPITAL	257	ROK	B	20,000	110.53	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	ROK	S	1,000	110.21	n/a	n/a	40.00	0.0
NEUBERGER BERMAN	036	RRC	B	10,000	78.40	n/a	13-Jun	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	257	SBAC	S	10,000	84.49	n/a	n/a	300.00	0.0
ROVER CAPITAL PARTNERS	040	SBUX	SS	2,500	79.35	n/a	17-Jun	100.00	0.0
NEUBERGER BERMAN	036	SEE	B	5,000	27.75	n/a	2-Jun	200.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SIX	B	18,017	34.47	n/a	n/a	540.51 0.0
MOORE CAPITAL	257	SNA	B	10,000	101.26	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	SPY	B	100,000	173.99	n/a	n/a	3,000.00	0.0
STANDARD PACIFIC CAPITAL	084	SYI	SS	125,000	32.10	n/a	n/a	6,250.00	0.0
MAIRS AND POWER INV	030	TGT	B	30,000	64.57	n/a	23-May	1,500.00	0.0
MOORE CAPITAL	257	UNH	SS	10,000	67.77	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	UNP	SS	10,000	152.37	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	URI	B	15,000	64.84	n/a	17-Apr	450.00	0.0
MOORE CAPITAL	257	VZ	B	25,000	49.75	n/a	n/a	750.00	0.0
HOPLITE MGMT	025	WAG	B	100,000	59.03	n/a	n/a	4,000.00	0.0
EVERCORE WEALTH MGMT	025	WY	B	38,975	30.25	n/a	19-Jun	1,559.00	0.0
MOORE CAPITAL	257	XLI	B	100,000	47.70	n/a	n/a	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGNETAR FINANCIAL	031	XOP	B	14,000	72.06	n/a	n/a	420.00	0.0
TOTAL (Trade Date):							119,661.57		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									119,661.57
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									119,661.57
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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