



## Daily Compliance Activity Report

Trade Date: 09/23/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	AAPL	B	200	489.25	n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	AET	B	2,000	63.62	n/a	n/a	80.00	0.0
J. GOLDMAN	028	BIG	S	42,159	37.22	n/a	n/a	1,686.36	0.0
NEWLAND CAPITAL MGT	025	BLDR	B	20,000	5.93	n/a	n/a	800.00	0.0
BROADARCH CAP/OLD NEWC	006	CAH	SS	2,000	53.10	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	CE	S	3,000	50.96	n/a	20-May	120.00	0.0
CORTEX CAPITAL	031	CLX	B	10,000	83.07	n/a	17-Jun	300.00	0.0
BARON ASSET MGMT*	006	CPRT	B	20,000	34.50	n/a	n/a	800.00	0.0
J. GOLDMAN	028	DG	B	30,000	58.00	n/a	4-Jun	1,200.00	0.0
BROADARCH CAP/OLD NEWC	006	DHR	SS	1,500	69.56	n/a	n/a	60.00	0.0
ENTRUST CAPITAL-N/C TO MSF CAP		040	DRI	B	19,653	45.57	n/a	17-Jun	982.65 0.0
LAGRANGE CAP ADV	087	EGO	B	20,000	6.88	n/a	n/a	1,000.00	0.0
TYVOR CAPITAL LLC	031	EXPR	S	15,000	23.85	n/a	n/a	450.00	0.0
BROADARCH CAP/OLD NEWC	006	FAZ	B	2,000	28.98	n/a	n/a	80.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	FDO	S	20,000	74.08	n/a	4-Jun	800.00	0.0
IONIC CAPITAL MANAGEMENT	041	FISV	B	4,600	101.23	n/a	n/a	138.00	0.0
ROTHSCHILD ASSET	040	FOE	B	19,833	8.87	n/a	n/a	793.32	0.0
CAERUS GLOBAL	041	F	B	10,000	17.23	n/a	19-Jun	400.00	0.0
CASTLEROCK	040	F	S	40,000	17.10	n/a	19-Jun	1,600.00	0.0
LISTED ERR	099	F	B	10,000	17.13	n/a	19-Jun	0.00	0.0
LISTED ERR	099	F	S	10,000	17.01	n/a	19-Jun	0.00	0.0
EPOCH INV MGMT	030	GE	B	200,000	24.30	n/a	n/a	6,000.00	0.0
VISIUM/BALY BOBBY	044	GE	SS	20,000	24.23	n/a	n/a	1,000.00	0.0
CAERUS GLOBAL	041	GM	S	5,000	37.15	n/a	19-Jun	200.00	0.0
CASTLEROCK	040	GM	B	11,260	36.92	n/a	19-Jun	450.40	0.0
OZ MGMT	040	GM	S	50,000	37.19	n/a	19-Jun	1,500.00	0.0
LISTED ERR	099	GM	B	5,000	36.93	n/a	19-Jun	0.00	0.0
LISTED ERR	099	GM	S	5,000	36.93	n/a	19-Jun	0.00	0.0
TYVOR CAPITAL LLC	031	GNC	S	10,000	53.84	n/a	n/a	300.00	0.0
IONIC CAPITAL MANAGEMENT	041	GPN	B	9,400	49.67	n/a	n/a	282.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	S	750	165.39	n/a	6-May	30.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	2,701	26.96	n/a	n/a	81.03	0.0
IONIC CAPITAL MANAGEMENT	041	HPY	B	12,300	38.91	n/a	n/a	369.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	HUN	B	2,000	20.45	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	ITB	S	5,000	22.20	n/a	n/a	200.00	0.0
SIGMA CAP BOBBY	041	JCP	B	50,000	12.34	n/a	18-Jun	1,500.00	0.0
BROADARCH CAP/OLD NEWC	006	JPM	SS	1,500	51.65	n/a	17-Jun	60.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	KBH	B	5,900	17.04	n/a	n/a	295.00	0.0
CAERUS GLOBAL	041	KORS	B	5,000	74.76	n/a	30-May	200.00	0.0
LATEEF MGMT	033	K	B	250	60.28	n/a	n/a	50.00	0.0
FRED ALGER MGMT	300	LEN	B	8,500	34.33	n/a	n/a	306.00	0.0
KORT	025	LPX	S	100,000	17.50	n/a	19-Jun	3,000.00	0.0
BROADARCH CAP/OLD NEWC	006	MCK	S	1,000	130.65	n/a	n/a	40.00	0.0
FRED ALGER MGMT	300	MSM	B	19,105	80.34	n/a	n/a	687.78	0.0
CORTEX CAPITAL	031	M	B	10,000	44.66	n/a	18-Jun	300.00	0.0
LATEEF MGMT	033	NUE	S	400	49.89	n/a	n/a	48.00	0.0
J. GOLDMAN	028	PKG	SS	28,000	58.74	n/a	17-Jun	1,120.00	0.0
MERRILL ASSET/BLACKROCK	085	PRE	S	10,600	90.82	n/a	n/a	424.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	006	PX	SS	1,500	121.11	n/a	n/a	60.00	0.0
RIVERPARK CAPITAL	025	RLGY	B	10,201	43.21	n/a	n/a	510.05	0.0
BROADARCH CAP/OLD NEWC	006	SI	SS	1,500	121.14	n/a	n/a	60.00	0.0
S.A.C. CAPITAL	044	SPY	B	225,000	169.96	n/a	n/a	6,750.00	0.0
GOLD SACHS SPECIAL SIT	030	SRI	B	40,000	11.18	n/a	n/a	2,000.00	0.0
TYVOR CAPITAL LLC	031	SSI	B	2,401	19.94	n/a	18-Jun	72.03	0.0
RIVERPARK CAPITAL	025	SWN	B	13,160	36.86	n/a	13-Jun	658.00	0.0
FSI GROUP, LLC	047	TCO	S	30,000	68.34	n/a	n/a	1,200.00	0.0
HAWK RIDGE	025	TECD	B	12,000	49.73	n/a	n/a	360.00	0.0
BRONSON POINT	036	TFSL	B	20,000	11.12	n/a	n/a	600.00	0.0
BROADARCH CAP/OLD NEWC	006	TMO	S	4,000	93.32	n/a	n/a	160.00	0.0
LATEEF MGMT	033	TRV	S	150	86.47	n/a	n/a	36.00	0.0
IONIC CAPITAL MANAGEMENT	041	TSS	B	15,900	29.37	n/a	n/a	477.00	0.0
BROADARCH CAP/OLD NEWC	006	UNH	SS	1,500	70.86	n/a	n/a	60.00	0.0
PRIMECAP MGMT	084	WFC	B	3,000	42.22	n/a	6-Jun	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	80,425	11.55	n/a	n/a	2,412.75	0.0
NOKOMIS PARTNERS	031	WTW	SS	18,000	37.58	n/a	n/a	540.00	0.0
BROADARCH CAP/OLD NEWC	006	XLI	SS	2,000	46.73	n/a	n/a	80.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	82.11	n/a	n/a	450.00	0.0
CASTLEROCK	040	YUM	SS	11,618	71.62	n/a	17-Jun	464.72	0.0
PRIMECAP MGMT	084	ZMH	S	1,000	83.93	n/a	n/a	40.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>47,012.09</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/20	FIFTH THIRD BANK/FREEMAN (FTCL)	047	EFA	B	6,250	64.43	n/a	n/a	312.50 0.0
AO,CRT	09/20	FIFTH THIRD BANK/FREEMAN (FTCL)	047	EFA	B	6,250	64.43	n/a	n/a	250.00 4.0
AO,CXL	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251	SUSS	S	12,000	52.16	n/a	n/a	416.55 0.0	
AO,CXL	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251	SUSS	S	1,885	52.16	n/a	n/a	56.55 0.0	
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251	SUSS	S	1,885	52.50	n/a	n/a	56.55 0.0	
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251	SUSS	S	5,000	52.25	n/a	n/a	150.00 0.0	
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251	SUSS	S	7,000	52.00	n/a	n/a	210.00 0.0	

**TOTAL (AO, CXL, CRT) :****-119.05**

TOTAL (Trade Date) :

47,012.09

TOTAL (AO, CXL, CRT) :

-119.05

**TOTAL (RUN DATE) / NFS:****46,893.04**

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