



Daily Compliance Activity Report

Trade Date: 11/13/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	1,139	519.90	n/a	n/a	56.95	0.0
BMO / M&I FUNDS	047	ACAS	S	100,000	14.17	n/a	n/a	4,000.00	0.0
MACELLUM CAPITAL	086	AEO	B	64,000	16.07	n/a	2-Dec	1,920.00	0.0
EDGEWOOD	085	AGN	B	5,398	94.28	n/a	17-Jun	269.90	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	15,000	39.95	n/a	n/a	450.00	0.0
BARROW HANLEY MEWHINNEY	031	AIG	S	1,752	48.04	n/a	n/a	61.32	0.0
LAKEWOOD CAPITAL MGMT	085	AIG	B	8,000	48.42	n/a	n/a	240.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	AMPE	B	12,000	8.26	n/a	n/a	480.00	0.0
EDGEWOOD	085	AMT	B	5,164	77.91	n/a	n/a	258.20	0.0
YORK CAPITAL	036	AMT	B	40,000	77.61	n/a	n/a	1,200.00	0.0
EDGEWOOD	085	AMZN	B	1,882	354.92	n/a	n/a	94.10	0.0
STATE OF WISCONSIN	047	AVP	B	50,000	17.20	n/a	17-Jun	2,000.00	0.0
VISIUM/BALY BOBBY	044	AVP	S	45,000	17.20	n/a	17-Jun	2,250.00	0.0
DAVIDSON KEMPNER ADVISOR	281	AWAY	SS	25,000	34.83	n/a	n/a	1,250.00	0.0
NEWLAND CAPITAL MGT	025	BZH	S	3,601	19.42	n/a	n/a	144.04	0.0
EDGEWOOD	085	CELG	B	5,617	148.75	n/a	n/a	280.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	CGI	B	10,000	19.05	n/a	n/a	400.00	0.0
KAM ADVISORS LLC	041	CMCSA	B	115,000	47.26	n/a	n/a	3,450.00	0.0
LATEEF MGMT	033	CMC	S	600	18.67	n/a	n/a	60.00	0.0
EDGEWOOD	085	CME	B	6,874	78.29	n/a	28-Apr	343.70	0.0
EDGEWOOD	085	CMG	B	1,035	536.36	n/a	3-Jun	51.75	0.0
NEWLAND CAPITAL MGT	025	CNW	SS	10,000	40.75	n/a	n/a	400.00	0.0
EDGEWOOD	085	CTSH	B	8,416	92.40	n/a	n/a	420.80	0.0
EVERGREEN	047	CTXS	S	67,000	57.61	n/a	n/a	2,680.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	CXW	S	50,000	35.29	n/a	n/a	2,000.00	0.0
ZWEIG FUNDS	006	DAL	B	25,000	28.02	n/a	18-Jun	1,250.00	0.0
S.A.C. CAPITAL	044	DDS	B	300	87.01	n/a	n/a	9.00	0.0
SANDLER CAPITAL	028	DD	S	260,200	60.72	n/a	n/a	13,010.00	0.0
CAERUS GLOBAL	041	DKS	B	1,000	55.39	n/a	19-Jun	40.00	0.0
CSL ASSOCIATES	006	EBAY	S	6,000	52.62	n/a	n/a	300.00	0.0
EDGEWOOD	085	ECL	B	2,802	105.74	n/a	18-Jan	140.10	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
NORTHWESTERN MUTUAL LIFE	047	EEM	B	118,212	40.55	n/a	n/a	2,364.24	0.0	
NORTHWESTERN MUTUAL LIFE	047	EFA	S	421,950	65.04	n/a	n/a	8,439.00	0.0	
DAVIDSON KEMPNER ADVISOR	281	EL	B	7,500	70.52	n/a	17-Jun	375.00	0.0	
NORTHWESTERN MUTUAL LIFE	047	EMC	B	30,700	24.15	n/a	26-Feb	1,228.00	0.0	
EDGEWOOD	085	EQIX	B	1,358	156.89	n/a	n/a	67.90	0.0	
CAMBIAR CAP	046	FINL	S	200,112	25.39	n/a	19-Jun	8,004.48	0.0	
CR INTRINIC INVESTMENT	044	FINL	S	20,000	25.44	n/a	19-Jun	600.00	0.0	
FIRST NY SEC/CHRIS	041	FINL	B	10,000	25.48	n/a	19-Jun	500.00	0.0	
KADE CAPITAL LLC	028	FINL	B	7,500	25.48	n/a	19-Jun	375.00	0.0	
SCOPUS FUND	041	FINL	B	100,000	25.37	n/a	19-Jun	4,000.00	0.0	
SURVEYOR CAPITAL	251	FINL	S	35,000	25.49	n/a	19-Jun	1,400.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC	025	FRM	B	15,000	11.03		n/a	n/a	600.00	0.0
EDGEWOOD	085	FTI	B	3,621	49.06	n/a	n/a	181.05	0.0	
CAERUS GLOBAL	041	F	B	40,000	16.80	n/a	19-Jun	1,600.00	0.0	
OZ MGMT	040	F	C	478,772	17.00	n/a	19-Jun	14,363.16	0.0	
EDGEWOOD	085	GILD	B	13,249	68.24	n/a	n/a	662.45	0.0	
DAVIDSON KEMPNER ADVISOR	281	GIS	SS	25,000	50.69	n/a	n/a	1,250.00	0.0	
ARDSLEY PARTNERS	280	GM	B	10,000	38.08	n/a	19-Jun	500.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	37.84	n/a	19-Jun	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	38.40	n/a	19-Jun	300.00	0.0
MOORE CAPITAL	257	GM	B	100,000	38.00	n/a	19-Jun	3,000.00	0.0
THREE G	041	GM	B	97,100	38.47	n/a	19-Jun	2,913.00	0.0
EDGEWOOD	085	GOOG	B	7341,028.55		n/a	n/a	36.70	0.0
MERRILL ASSET/BLACKROCK	085	HCC	S	3,320	45.57	n/a	n/a	132.80	0.0
EDGEWOOD	085	IHS	B	6,365	112.79	n/a	n/a	318.25	0.0
EDGEWOOD	085	ILMN	B	6,855	95.29	n/a	n/a	342.75	0.0
EDGEWOOD	085	ISRG	B	2,068	393.82	n/a	n/a	103.40	0.0
DAVIDSON KEMPNER ADVISOR	281	JACK	B	50,000	43.64	n/a	n/a	2,500.00	0.0
BTG PACTUAL	040	JBLU	S	25,000	8.35	n/a	18-Jun	750.00	0.0
SAC CHRIS C	041	JNJ	S	55,000	92.89	n/a	n/a	1,650.00	0.0
ADAGE CAPITAL MGMT	030	JWN	B	137,576	63.24	n/a	18-Jun	4,127.28	0.0
S.A.C. CAPITAL	044	JWN	SS	20,000	63.17	n/a	18-Jun	600.00	0.0
S.A.C. CAPITAL	044	KSS	B	20,000	57.88	n/a	18-Jun	600.00	0.0
CORVEX CAPITAL	041	LBTYA	S	50,000	79.28	n/a	n/a	1,500.00	0.0
STRONG/MARK GRONET	030	LCC	B	164,535	23.59	n/a	18-Jun	6,581.40	0.0
MERRILL ASSET/BLACKROCK	085	LEAF	B	7,910	20.19	n/a	n/a	316.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PEAK INV/OAKMONT/CYPRESS	084	LMT	B	100,000	136.22	n/a	11-Jun	4,000.00	0.0	
FOUNDRY PARTNERS LLC	030	LNKD	B	425	218.42	n/a	n/a	17.00	0.0	
FARALLON CAP MGMT	040	LTD	S	24,244	64.28	n/a	n/a	727.32	0.0	
S.A.C. CAPITAL	044	MCD	B	25,000	97.82	n/a	17-Jun	750.00	0.0	
BARROW HANLEY MEWHINNEY	031	MO	S	13,444	37.19	n/a	n/a	470.55	0.0	
ROTHSCHILD ASSET	040	MSFT	B	14,175	37.72	n/a	n/a	567.00	0.0	
STRONG/MARK GRONET	030	NBL	B	460	73.88	n/a	n/a	18.40	0.0	
STRONG/MARK GRONET	030	NEM	B	510	27.33	n/a	n/a	20.40	0.0	
LAKEWOOD CAPITAL MGMT	085	NEON	C	10,000	5.32	n/a	n/a	300.00	0.0	
KLEINHEINZ CAP PART	031	OCN	B	75,000	51.58	n/a	n/a	3,750.00	0.0	
EDGEWOOD	085	PCP	B	1,585	248.02	n/a	11-Jun	79.25	0.0	
P.SCHOENFELD ASSET MGMT LLC	041	PDM	B	57,000	17.50	n/a	n/a	2,280.00	0.0	
KENNEDY CAPITAL	046	PLCE	B	23,450	54.22	n/a	24-May	938.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC	025	PSIX	S	1,000	69.86		n/a	n/a	40.00	0.0
EDGEWOOD	085	QCOM	B	2,652	69.76	n/a	n/a	132.60	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PALISADE CAPITAL MANAGEMENT LLC	025	QUIK	S	20,000	3.26		n/a	n/a	800.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	RENT	B	5,000	40.07		n/a	n/a	200.00	0.0
CORNERSTONE	030	RL	B	4,922	173.85	n/a	24-May		147.66	0.0
BARROW HANLEY MEWHINNEY	031	RTN	S	975	84.51	n/a	11-Mar		34.13	0.0
AH LISANTI	006	SAVE	S	18,775	44.13	n/a	18-Jun		938.75	0.0
BARROW HANLEY MEWHINNEY	031	SLM	S	19,220	25.67	n/a	14-Jun		672.70	0.0
TYVOR CAPITAL LLC	031	SSI	S	10,000	21.75	n/a	18-Jun		300.00	0.0
EDGEWOOD	085	SSYS	B	1,732	124.95	n/a	n/a		86.60	0.0
YORK CAPITAL	036	SUNE	B	400,000	13.31	n/a	n/a		12,000.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	THRM	B	10,000	23.34		n/a	n/a	400.00	0.0
S.A.C. CAPITAL	044	TJX	B	20,000	62.33	n/a	18-Jun		600.00	0.0
EDGEWOOD	085	TROW	B	4,724	78.65	n/a	n/a		236.20	0.0
1798 CAP/LOMBARD ASSET	040	TYC	B	15,000	36.58	n/a	26-Apr		750.00	0.0
NEWLAND CAPITAL MGT	025	UPS	B	21,522	100.55	n/a	n/a		860.88	0.0
EDGEWOOD	085	VIAB	B	10,547	82.73	n/a	n/a		527.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	V	B	1,797	199.13	n/a	11-Jun	89.85	0.0
CR INTRINIC INVESTMENT	044	WEN	SS	20,000	8.66	n/a	20-May	600.00	0.0
CAERUS GLOBAL	041	WWW	B	400	30.35	n/a	n/a	16.00	0.0
COUGAR TRADING	044	WY	B	25,000	29.64	n/a	19-Jun	1,250.00	0.0
COUGAR TRADING	044	WY	S	25,000	29.63	n/a	19-Jun	1,250.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	WY	B	25,000	29.60	n/a	19-Jun	750.00	0.0
RIDGECREST INV MGMT LLC	028	WY	B	30,000	29.60	n/a	19-Jun	1,200.00	0.0
WOOSTER CAPITAL	044	WY	B	25,000	29.58	n/a	19-Jun	1,250.00	0.0
TOTAL (Trade Date) :							151,143.61		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	STERLING CAPITAL MGMT. (STCM152)	093	HTZ	B	9,397	21.67	n/a	n/a	422.87 0.0
AO,	11/06	STERLING CAPITAL MGMT. (STCM152)	093	HTZ	B	3,700	21.67	n/a	n/a	166.50 0.0
AO,	11/06	STERLING CAPITAL MGMT. (STCM152)	093	HTZ	B	5,697	21.67	n/a	n/a	256.37 0.0
AO,CXL	11/12	SANDLER O'NEILL ASSET (SANOMSIL)	031	LAZ	S	11,500	40.50	n/a	6-May	575.00 0.0
AO,	11/12	SANDLER O'NEILL ASSET (SANO)	031	LAZ	S	11,500	40.50	n/a	6-May	575.00 0.0
AO,CRT	11/12	FSI GROUP, LLC (FSIGMS)	047	RWT	S	37,230	17.98	n/a	n/a	1489.20 4.0
AO,CXL	11/12	STATE OF WISCONSIN (SWIB079300)	047	RWT	S	37,230	17.98	n/a	n/a	1489.20 0.0
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (Trade Date) :										151,143.61
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (RUN DATE) / NFS :										151,143.61

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