



Daily Compliance Activity Report

Trade Date: 12/12/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	B	7,000	25.86	n/a	n/a	280.00	0.0
KOLVEN CAPITAL	025	AAL	B	2,000	26.05	n/a	n/a	60.00	0.0
CR INTRINIC INVESTMENT	044	AAN	B	6,000	28.51	n/a	n/a	180.00	0.0
ASCEND PARTNERS	033	AGU	S	7,698	88.04	n/a	n/a	230.94	0.0
ASCEND PARTNERS	033	AMGN	SS	10,000	112.86	n/a	n/a	300.00	0.0
KLEINHEINZ CAP PART	031	ARO	S	100,000	8.20	n/a	n/a	5,000.00	0.0
STELLIAM INV ADV	086	AXLL	B	5,000	46.32	n/a	n/a	200.00	0.0
ASCEND PARTNERS	033	BHI	C	75,000	53.10	n/a	n/a	2,250.00	0.0
PATTEN & PATTEN	025	BHK	B	1,000	12.64	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	BRCM	S	25	28.21	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	BUD	B	365	100.43	n/a	17-Jun	18.25	0.0
ASCEND PARTNERS	033	CF	B	800	226.75	n/a	n/a	24.00	0.0
ASCEND PARTNERS	033	CMI	B	20,000	129.35	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	COH	B	100	55.55	n/a	30-May	5.00	0.0
GALT INVESTMENT	041	CROX	B	25,000	12.69	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INTERVAL PARTNERS	033	CSX	C	25,000	27.39	n/a	n/a	750.00	0.0
EMPYREAN CAPITAL	084	DAL	SS	200,000	28.20	n/a	18-Jun	6,000.00	0.0
FARBER	006	DAL	B	7,000	28.26	n/a	18-Jun	280.00	0.0
WELLSPRING CAPITAL	093	DAL	B	10,000	28.25	n/a	18-Jun	400.00	0.0
PATTEN & PATTEN	025	DBA	S	1,050	24.63	n/a	n/a	52.50	0.0
CAISSE DEPOT PLACEMENT Q	257	DF	S	50,000	17.03	n/a	n/a	2,000.00	0.0
CR INTRINIC INVESTMENT	044	DKS	B	3,000	56.05	n/a	19-Jun	90.00	0.0
PATTEN & PATTEN	025	DLR	S	650	44.90	n/a	n/a	32.50	0.0
PAULSON & CO INC	041	DLR	B	100,000	44.98	n/a	n/a	4,000.00	0.0
SAC CAPITAL/M GRONET	030	DLTR	B	25,000	55.94	n/a	4-Jun	750.00	0.0
SCOUT/UMB	047	DLTR	S	81,242	55.95	n/a	4-Jun	2,437.26	0.0
SAC CHRIS C	041	DVA	B	25,000	60.61	n/a	n/a	750.00	0.0
PAULSON & CO INC	041	DYN	C	75,000	20.47	n/a	n/a	3,000.00	0.0
STELLIAM INV ADV	086	FB	SS	16,500	51.32	n/a	n/a	660.00	0.0
EPOCH INV MGMT	030	FFBC	B	18,882	16.49	n/a	n/a	566.46	0.0
CAERUS GLOBAL	041	F	B	25,000	16.22	n/a	19-Jun	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	16.29	n/a	19-Jun	750.00	0.0
OZ MGMT	040	F	SS	182,994	16.27	n/a	19-Jun	5,489.82	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	GCO	B	4,000	70.68	n/a	n/a	120.00	0.0
CORTEX CAPITAL	031	GES	SS	20,000	30.87	n/a	31-May	600.00	0.0
KLEINHEINZ CAP PART	031	GES	SS	262,142	30.64	n/a	31-May	13,107.10	0.0
PATTEN & PATTEN	025	GLD	S	100	118.52	n/a	n/a	5.00	0.0
HALCYON LLC	041	GM	B	45,447	40.16	n/a	19-Jun	1,363.41	0.0
VISIUM/BALY BOBBY	044	GM	S	30,000	40.48	n/a	19-Jun	1,500.00	0.0
COLUMBUS CIRCLE	036	GNTX	B	8,900	30.29	n/a	19-Jun	356.00	0.0
HOLLIS CAPITAL	033	GRA	S	3,000	92.58	n/a	n/a	150.00	0.0
LOMAS CAPITAL	040	HD	S	40,000	78.91	n/a	n/a	1,200.00	0.0
ASCEND PARTNERS	033	HRB	C	100,000	28.15	n/a	n/a	3,000.00	0.0
PATTEN & PATTEN	025	IBM	S	95	173.62	n/a	n/a	4.75	0.0
WAGONHOUND/NICOLAS	033	JBLU	B	196,280	8.58	n/a	18-Jun	5,888.40	0.0
WELLSPRING CAPITAL	093	JBLU	B	20,000	8.76	n/a	18-Jun	800.00	0.0
S.A.C. CAPITAL	044	JWN	B	20,000	60.50	n/a	18-Jun	600.00	0.0
PATTEN & PATTEN	025	KMB	S	500	103.81	n/a	17-Jun	25.00	0.0
CR INTRINIC INVESTMENT	044	LB	B	2,000	60.42	n/a	n/a	60.00	0.0
DISIPLINED GROWTH INV.	030	LB	B	8,600	61.01	n/a	n/a	430.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jack Chernus		LEA	S	10	0.7000	n/a	19-Jun	0.00	0.0
GALT INVESTMENT	041	LF	B	10,000	8.04	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	LLY	S	675	49.20	n/a	n/a	33.75	0.0
CORVEX CAPITAL	041	LSI	C	150,000	7.96	n/a	n/a	4,500.00	0.0
NOKOMIS PARTNERS	031	LULU	SS	68,500	60.85	n/a	19-Jun	2,055.00	0.0
PAR CAPITAL	029	LUV	S	110,700	18.78	n/a	18-Jun	4,428.00	0.0
HIGHLINE ADV	044	MGM	B	400,000	20.80	n/a	13-Jun	16,000.00	0.0
PATTEN & PATTEN	025	MIC	S	50	52.87	n/a	n/a	2.50	0.0
DISIPLINED GROWTH INV.	030	MIDD	S	5,000	221.29	n/a	n/a	250.00	0.0
FRED ALGER MGMT	300	MSCC	S	1,800	23.33	n/a	n/a	64.80	0.0
LOCUST WOOD CAPITAL MGMT	044	MSFT	S	79,160	37.22	n/a	n/a	3,166.40	0.0
S.A.C. CAPITAL	044	M	SS	10,000	51.80	n/a	18-Jun	300.00	0.0
YORK CAPITAL	036	NCQ	S	200,000	1.41	n/a	n/a	2,000.00	0.0
CAISSE DEPOT PLACEMENT Q	257	NRF	B	85,000	11.61	n/a	n/a	2,550.00	0.0
PATTEN & PATTEN	025	NUAN	S	1,900	14.18	n/a	n/a	95.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ORCL	S	60	33.74	n/a	n/a	3.00	0.0
CR INTRINIC INVESTMENT	044	ORLY	B	1,300	125.22	n/a	n/a	39.00	0.0
SCOPUS FUND	041	PBPB	SS	20,000	25.32	n/a	n/a	800.00	0.0
CRAMER ROSENTHAL	070	PENN	B	5,000	14.05	n/a	n/a	200.00	0.0
METROPOLITAN CAPITAL	044	PLCE	B	8,600	53.71	n/a	24-May	430.00	0.0
PATTEN & PATTEN	025	PRF	B	200	80.01	n/a	n/a	10.00	0.0
FIRST NEW YORK	086	RAD	B	20,000	5.61	n/a	n/a	800.00	0.0
COLUMBUS CIRCLE	036	RATE	S	6,431	17.05	n/a	n/a	257.24	0.0
CR INTRINIC INVESTMENT	044	RCII	B	5,000	33.74	n/a	n/a	150.00	0.0
DISIPLINED GROWTH INV.	030	RCL	S	12,500	43.03	n/a	n/a	625.00	0.0
LOCUST WOOD CAPITAL MGMT	044	RESI	S	6,390	29.00	n/a	n/a	255.60	0.0
ROTHSCHILD ASSET	040	RFMD	S	148,975	5.04	n/a	n/a	5,959.00	0.0
INTERVAL PARTNERS	033	ROST	B	17,800	70.53	n/a	18-Jun	534.00	0.0
YORK CAPITAL	036	SIRI	B	500,000	3.44	n/a	n/a	5,000.00	0.0
CORTEX CAPITAL	031	SPY	B	20,000	178.59	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BLUE MOUNTAIN CAPITAL	087	SUNE	SS	250,000	11.50	n/a	n/a	5,000.00	0.0
MASTERS CAPITAL MANAGE	025	SUNE	B	80,000	11.50	n/a	n/a	3,200.00	0.0
BRIGADE CAPITAL MGMT	029	SVU	S	50,000	6.30	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	TFM	S	25	40.61	n/a	n/a	1.25	0.0
LOCUST WOOD CAPITAL MGMT	044	THI	S	2,500	57.20	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	TRN	S	250	50.49	n/a	n/a	12.50	0.0
FARBER	006	UAL	B	5,200	37.54	n/a	18-Jun	208.00	0.0
J. GOLDMAN	028	UAL	S	35,000	37.63	n/a	18-Jun	1,400.00	0.0
SENATOR INVESTMENT GROUP	287	UAL	B	33,750	36.85	n/a	18-Jun	1,012.50	0.0
PATTEN & PATTEN	025	UA	S	50	83.69	n/a	19-Jun	2.50	0.0
PATTEN & PATTEN	025	UTX	S	25	108.08	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	VV	S	50	81.83	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	WPRT	S	300	18.20	n/a	n/a	15.00	0.0
TOTAL (Trade Date) :								132,281.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/11	TOCQUEVILLE (TOCQPERS)	046	NCS	S	20,000	17.15	n/a	n/a	1000.00 0.0
AO,	12/11	TOCQUEVILLE (TOCQAM3007)	046	NCS	S	7,300	17.15	n/a	n/a	365.00 0.0
AO,	12/11	TOCQUEVILLE (TOCQAM2967)	046	NCS	S	12,700	17.15	n/a	n/a	635.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	132,281.43
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	132,281.43
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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