



Daily Compliance Activity Report

Trade Date: 10/09/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	AA	SS	250,000	8.25	n/a	n/a	5,000.00	0.0
PRIMECAP MGMT	084	AFFX	B	20,734	6.31	n/a	n/a	622.02	0.0
CALA	041	AMAT	S	800,000	17.35	n/a	n/a	24,000.00	0.0
VISIUM/BALY BOBBY	044	AMD	S	150,000	3.61	n/a	n/a	4,500.00	0.0
GLG PARTNERS	280	AMRN	S	30,000	6.30	n/a	n/a	1,500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	A	S	10,000	50.06	n/a	n/a	300.00	0.0
BAIRD INVESTMENT	047	BA	S	50	114.99	n/a	11-Jun	2.50	0.0
BTG PACTUAL	040	CAKE	SS	15,000	42.69	n/a	25-Apr	450.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	40,443	2.66	n/a	n/a	808.86	0.0
LONG POND	029	CBG	B	200,000	22.35	n/a	n/a	8,000.00	0.0
KEYGROUP/KGLT	040	CHK	SS	25,000	25.94	n/a	n/a	1,000.00	0.0
INTERVAL PARTNERS	033	CNW	B	7,500	42.59	n/a	n/a	225.00	0.0
SASCO	033	CNX	B	240,000	35.00	n/a	n/a	8,400.00	0.0
SENATOR INVESTMENT GROUP	287	CNX	SS	500,000	35.07	n/a	n/a	15,000.00	0.0
VISIUM/BALY BOBBY	044	COT	C	25,000	7.53	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	CUB	S	1,600	50.15	n/a	n/a	80.00	0.0
INTERVAL PARTNERS	033	DAN	SS	25,000	21.50	n/a	19-Jun	750.00	0.0
BAIRD INVESTMENT	047	DE	S	150	82.82	n/a	11-Jul	7.50	0.0
Õ Larry Leeds		DLIA	S	6000	1.2062	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	DRC	B	1,200	60.15	n/a	n/a	36.00	0.0
SENATOR INVESTMENT GROUP	287	DRC	SS	92,700	60.43	n/a	n/a	2,781.00	0.0
SOROS	274	DYAX	B	90,200	6.40	n/a	n/a	2,706.00	0.0
MATRIX ASSET ADV.	091	EMR	S	500	63.10	n/a	n/a	20.00	0.0
BAIRD INVESTMENT	047	EPD	S	100	59.28	n/a	n/a	5.00	0.0
ROARING BLUE LION MGMT	031	FL	B	15,100	32.56	n/a	19-Jun	604.00	0.0
ROTHSCHILD ASSET	040	FMER	B	17,583	21.64	n/a	n/a	703.32	0.0
ADAGE CAPITAL MGMT	030	FNP	B	6,810	25.03	n/a	n/a	204.30	0.0
INTERVAL PARTNERS	033	GPI	C	17,000	67.02	n/a	19-Jun	510.00	0.0
CR INTRINIC INVESTMENT	044	GT	B	50,000	21.87	n/a	n/a	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	GWW	B	15,200	252.41	n/a	11-Jun	304.00	0.0
BAIRD INVESTMENT	047	HCN	S	75	61.61	n/a	n/a	3.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	ICPT	B	10,800	59.18	n/a	n/a	432.00	0.0
S.A.C. CAPITAL	044	ITB	SS	20,000	21.22	n/a	n/a	600.00	0.0
S.A.C. CAPITAL	044	IWM	B	150,000	104.06	n/a	n/a	4,500.00	0.0
VISIUM/BALY BOBBY	044	IWM	C	150,000	104.04	n/a	n/a	7,500.00	0.0
Õ Ryan Mueller		JCP	S	500	7.8505	n/a	18-Jun	0.00	0.0
LONG POND	029	JLL	B	50,000	82.72	n/a	n/a	2,000.00	0.0
LONG POND	029	KBH	B	100,000	16.75	n/a	n/a	4,000.00	0.0
TYVOR CAPITAL LLC	031	KORS	S	19,082	72.56	n/a	30-May	572.46	0.0
BAIRD INVESTMENT	047	KO	S	150	37.08	n/a	17-Jun	7.50	0.0
ADAGE CAPITAL MGMT	030	KR	B	39,107	40.14	n/a	n/a	1,173.21	0.0
SOROS	036	KYTH	B	15,300	46.22	n/a	n/a	612.00	0.0
PRIMECAP MGMT	084	LLY	B	11,870	47.58	n/a	n/a	474.80	0.0
TYVOR CAPITAL LLC	031	LO	B	8,000	44.18	n/a	n/a	240.00	0.0
ROVER CAPITAL PARTNERS	040	MAR	B	3,500	41.43	n/a	13-Jun	140.00	0.0
CADIAN CAPITAL	041	MCD	SS	10,000	93.36	n/a	17-Jun	300.00	0.0
VISIUM/BALY BOBBY	044	MGM	SS	50,000	20.04	n/a	13-Jun	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	MMP	S	200	55.52	n/a	n/a	10.00	0.0
T. ROWE PRICE	243	NFLX	S	91,200	288.98	n/a	n/a	3,648.00	0.0
LEVIN CAPITAL STRATEGIES	041	NKE	C	11,430	70.63	n/a	19-Jun	342.90	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NWSA	S	125,000	15.77		n/a	n/a	3,750.00 0.0
KLEINHEINZ CAP PART	031	OCN	S	20,000	52.31	n/a	n/a	1,000.00	0.0
PRIMECAP MGMT	084	QGEN	B	26,421	20.61	n/a	n/a	1,056.84	0.0
SYMPHONY ASSET	033	QQQ	SS	6,960	77.03	n/a	n/a	208.80	0.0
FIRST NEW YORK	086	RAD	S	40,000	4.86	n/a	n/a	2,000.00	0.0
HOLLIS CAPITAL	033	RDC	S	5,000	35.93	n/a	n/a	250.00	0.0
FEDERATED INV/KAUFMAN	029	RHT	S	70,000	43.21	n/a	n/a	3,500.00	0.0
ACK ASSET	028	SFXE	S	3,000	12.41	n/a	n/a	90.00	0.0
PRIMECAP MGMT	084	SGEN	B	2,246	38.90	n/a	n/a	89.84	0.0
CADIAN CAPITAL	041	SHW	S	4,500	175.40	n/a	n/a	135.00	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	0.0
SOROS	036	SPY	SS	8,000	165.42	n/a	n/a	240.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ST	S	10,000	38.09	n/a	n/a	300.00	0.0
BAIRD INVESTMENT	047	T	S	100	34.05	n/a	n/a	5.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ULTI	S	8,676	138.00	n/a	n/a	260.28 0.0
FORTRESS INVESTMENT (US)	036	WCC	B	27,000	73.88	n/a	n/a	540.00	0.0
SYMPHONY ASSET	033	WFM	SS	13,980	58.27	n/a	n/a	419.40	0.0
BAIRD INVESTMENT	047	WM	S	100	40.44	n/a	n/a	5.00	0.0
SCOPUS FUND	041	WY	S	716	28.18	n/a	19-Jun	28.64	0.0
S.A.C. CAPITAL	044	XLU	SS	350,000	37.44	n/a	n/a	10,500.00	0.0
SYMPHONY ASSET	033	XLU	C	25,051	37.71	n/a	n/a	751.53	0.0
BTG PACTUAL	040	YUM	B	5,000	66.05	n/a	17-Jun	150.00	0.0
CASTLEROCK	040	YUM	B	23,000	65.75	n/a	17-Jun	920.00	0.0
OZ MGMT	040	YUM	C	50,767	65.63	n/a	17-Jun	1,523.01	0.0
MATRIX ASSET ADV.	091	ZMH	S	500	84.60	n/a	n/a	20.00	0.0
TOTAL (Trade Date) :								138,069.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									138,069.46
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									138,069.46

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