



Daily Compliance Activity Report

Trade Date: 10/10/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	AA	S	1,000	8.36	n/a	n/a	70.00	0.0
PIMCO	084	AEO	B	75,000	13.49	n/a	2-Dec	1,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	AGN	B	5,000	89.93	n/a	17-Jun	150.00	0.0
SENATOR INVESTMENT GROUP	287	APD	B	25,000	105.93	n/a	n/a	750.00	0.0
CR INTRINIC INVESTMENT	044	AXL	B	30,000	18.60	n/a	19-Jun	900.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	BLMN	SS	47,300	21.70	n/a	n/a	1,419.00	0.0
SANDLER CAPITAL	028	CAH	B	185,000	54.47	n/a	n/a	9,250.00	0.0
CASTLEROCK	040	CAKE	SS	13,194	43.03	n/a	25-Apr	527.76	0.0
J. GOLDMAN	028	CAKE	B	20,000	42.82	n/a	25-Apr	800.00	0.0
OZ MGMT	040	CAKE	SS	75,000	42.85	n/a	25-Apr	2,250.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	S	255,557	2.66	n/a	n/a	5,111.14	0.0
CRAMER ROSENTHAL	070	CBG	S	217,375	22.75	n/a	n/a	8,695.00	0.0
LONG POND	029	CBG	B	125,000	22.75	n/a	n/a	5,000.00	0.0
KEYGROUP/KGLT	040	CHK	SS	25,000	26.37	n/a	n/a	1,000.00	0.0
WHITE PINE CAPITAL	030	CUB	S	9,800	50.48	n/a	n/a	490.00	0.0
TUDOR INVESTORS	028	DE	SS	5,000	82.59	n/a	11-Jul	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	DIS	S	100,000	64.74	n/a	n/a	3,000.00	0.0
BMO / M&I FUNDS	047	DKS	S	4,816	52.15	n/a	19-Jun	192.64	0.0
ADAGE CAPITAL MGMT	030	DRC	B	15,000	60.33	n/a	n/a	450.00	0.0
SENATOR INVESTMENT GROUP	287	DRC	SS	67,300	60.53	n/a	n/a	2,019.00	0.0
LATEEF MGMT	033	ENR	B	150	93.20	n/a	17-Jun	37.50	0.0
NORTHWESTERN MUTUAL LIFE	047	FL	B	115,200	33.04	n/a	19-Jun	4,608.00	0.0
FRED ALGER MGMT	300	FOSL	S	6,455	117.40	n/a	n/a	232.38	0.0
S.A.C. CAPITAL	044	FOSL	S	37,887	117.79	n/a	n/a	1,136.61	0.0
T. ROWE PRICE	243	FOSL	B	128,650	118.23	n/a	n/a	5,146.00	0.0
FRED ALGER MGMT	300	FXCM	B	28,020	17.82	n/a	n/a	1,008.72	0.0
CORTEX CAPITAL	031	GES	B	25,000	29.52	n/a	31-May	750.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	30,000	34.75	n/a	19-Jun	900.00	0.0
WAGONHOUND/NICOLAS	033	GM	C	44,290	34.76	n/a	19-Jun	1,771.60	0.0
TUDOR INVESTORS	028	HON	S	5,000	83.21	n/a	19-Apr	150.00	0.0
MADISON ST PARTNERS LLC	046	HPQ	B	50,000	22.40	n/a	n/a	2,500.00	0.0
VISIUM/BALY BOBBY	044	HUBG	S	25,000	35.08	n/a	n/a	1,250.00	0.0
FEDERATED INV/KAUFMAN	029	IPGP	S	30,000	61.23	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	IP	B	15,000	43.71	n/a	17-Jun	600.00	0.0
TUDOR INVESTORS	028	IP	S	5,000	43.57	n/a	17-Jun	150.00	0.0
TUDOR INVESTORS	028	IYR	B	10,000	63.98	n/a	n/a	300.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	S	8,600	6.72	n/a	18-Jun	344.00 0.0
TUDOR INVESTORS	028	LEA	S	3,000	71.71	n/a	19-Jun	90.00	0.0
GRUBER MACBAIN	033	LPX	B	40,000	17.41	n/a	19-Jun	1,600.00	0.0
TIDE POINT CAPITAL	028	LPX	B	5,000	17.39	n/a	19-Jun	150.00	0.0
ESSENCIAL CAPITAL	031	LUV	B	20,000	15.03	n/a	18-Jun	600.00	0.0
INTERVAL PARTNERS	033	MTW	SS	25,000	18.87	n/a	11-Jul	750.00	0.0
BMO / M&I FUNDS	047	M	S	5,987	42.98	n/a	18-Jun	239.48	0.0
LATEEF MGMT	033	OLN	B	350	22.49	n/a	n/a	35.00	0.0
PENNANT CAP MGMT	250	OXY	S	50,000	94.57	n/a	n/a	1,000.00	0.0
INTERVAL PARTNERS	033	PETM	SS	5,000	72.69	n/a	n/a	150.00	0.0
S.A.C. CAPITAL	044	PFE	B	100,000	28.53	n/a	n/a	3,000.00	0.0
KLEINHEINZ CAP PART	031	PTEN	B	50,000	22.67	n/a	n/a	2,500.00	0.0
TIEDEMANN/TIG ADVISORS LLC006		RUE	B	24,990	42.00	n/a	n/a	749.70	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SPARTAN	093	SGI	S	4,352	13.93	n/a	n/a	130.56	0.0
TUDOR INVESTORS	028	ST	S	10,000	38.75	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	SWFT	B	10,000	19.66	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	TKR	S	5,000	58.76	n/a	n/a	150.00	0.0
JET CAPITAL/CHRIS	041	TWC	B	32,200	114.52	n/a	n/a	966.00	0.0
BMO / M&I FUNDS	047	URBN	S	6,912	36.03	n/a	n/a	276.48	0.0
TUDOR INVESTORS	028	UTX	SS	5,000	104.74	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	WBC	S	9,000	84.18	n/a	31-May	121.50	0.0
INTERVAL PARTNERS	033	WEN	SS	50,000	8.25	n/a	20-May	1,500.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WTW	S	64,900	39.21	n/a	n/a	1,947.00	0.0
TIDE POINT CAPITAL	028	WY	B	5,000	28.68	n/a	19-Jun	150.00	0.0
TUDOR INVESTORS	028	WY	S	15,000	28.66	n/a	19-Jun	450.00	0.0
TOTAL (Trade Date) :								83,415.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/09	GLG PARTNERS (GLGPGLSCS)	280	AMRN	S	443	6.30	n/a	n/a	22.15 0.0
AO,	10/09	GLG PARTNERS (GLGPGLSCS)	280	AMRN	S	443	6.30	n/a	n/a	13.29 0.0
AO,CXL	10/09	GLG PARTNERS (GLGPELSUS)	280	AMRN	S	5,224	6.30	n/a	n/a	261.20 0.0
AO,	10/09	GLG PARTNERS (GLGPELSUS)	280	AMRN	S	5,224	6.30	n/a	n/a	156.72 0.0
AO,	10/09	GLG PARTNERS (GLGPELSAL)	280	AMRN	S	11,530	6.30	n/a	n/a	345.90 0.0
AO,CXL	10/09	GLG PARTNERS (GLGPELSQMS)	280	AMRN	S	4,930	6.30	n/a	n/a	246.50 0.0
AO,	10/09	GLG PARTNERS (GLGPELSQMS)	280	AMRN	S	4,930	6.30	n/a	n/a	147.90 0.0
AO,CXL	10/09	GLG PARTNERS (GLGPELSCS)	280	AMRN	S	7,873	6.30	n/a	n/a	393.65 0.0
AO,	10/09	GLG PARTNERS (GLGPELSCS)	280	AMRN	S	7,873	6.30	n/a	n/a	236.19 0.0
AO,CXL	10/09	GLG PARTNERS (GLGPELSAL)	028	AMRN	S	11,530	6.30	n/a	n/a	576.50 0.0
CRT	10/10	TUDOR INVESTORS (TUDRJMPMB)	028	IP	S	5,000	43.57	n/a	17-Jun	150.00 0.0
AO,CXL	10/09	FIRST NEW YORK (FNYS)	086	RAD	S	40,000	4.86	n/a	n/a	2000.00 0.0
AO,CRT	10/09	FIRST NEW YORK (FNYS)	086	RAD	S	40,000	4.86	n/a	n/a	1600.00 0.0

TOTAL (AO, CXL, CRT) :**-850.00**

TOTAL (Trade Date):

83,415.07

TOTAL (AO, CXL, CRT):

-850.00

TOTAL (RUN DATE) / NFS:**82,565.07**

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