



Daily Compliance Activity Report

Trade Date: 11/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	AA	S	55,875	9.67	n/a	n/a	2,235.00	0.0
BESSEMER INVESTMENT	085	AET	S	1,300	63.02	n/a	n/a	52.00	0.0
EPOCH INV MGMT	030	AIG	S	100,000	48.36	n/a	n/a	3,000.00	0.0
SYMPHONY ASSET	033	AME	B	4,473	47.86	n/a	n/a	0.00	0.0
SYMPHONY ASSET	033	AMG	B	568	194.45	n/a	2-Mar	0.00	0.0
BESSEMER INVESTMENT	085	APC	S	30,000	92.68	n/a	13-Jun	1,200.00	0.0
FRED ALGER MGMT	300	APO	S	17,850	34.01	n/a	n/a	642.60	0.0
DC CAPITAL	044	ATI	S	12,800	33.50	n/a	11-Jun	512.00	0.0
BASSWOOD PARTNERS	267	BAC	B	18,465	13.98	n/a	17-Jun	738.60	0.0
FIFTH THIRD BANK/FREEMAN	047	BAC	B	7,500	13.95	n/a	17-Jun	375.00	0.0
LATEEF MGMT	033	BBT	B	300	33.75	n/a	n/a	30.00	0.0
EPOCH INV MGMT	030	BKU	S	18,140	30.73	n/a	n/a	544.20	0.0
MAPLE ROW	006	BTU	B	1,500	20.55	n/a	n/a	45.00	0.0
SYMPHONY ASSET	033	CBL	S	5,671	19.44	n/a	n/a	0.00	0.0
KEY ASSET MGMT/VICTORY	220	CHK	S	262,840	28.25	n/a	n/a	10,513.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CIT	S	2,200	47.62	n/a	13-Jun	66.00	0.0
BASSWOOD PARTNERS	267	C	B	1,825	48.41	n/a	17-Jun	73.00	0.0
EPOCH INV MGMT	030	C	S	4,710	48.49	n/a	17-Jun	141.30	0.0
LATEEF MGMT	033	DE	B	525	81.88	n/a	11-Jul	94.50	0.0
PENNANT CAP MGMT	250	DVN	S	44,200	63.86	n/a	13-Jun	884.00	0.0
FRED ALGER MGMT	300	FLT	B	1,195	31.30	n/a	n/a	43.02	0.0
FIFTH THIRD BANK/FREEMAN	047	FTI	B	6,000	49.89	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	F	C	50,000	17.00	n/a	19-Jun	1,500.00	0.0
FORWARD MGMT	033	GIMO	S	5,000	28.47	n/a	n/a	200.00	0.0
ADAGE CAPITAL MGMT	030	GPS	B	18,759	37.38	n/a	n/a	562.77	0.0
LATEEF MGMT	033	HPQ	S	625	25.48	n/a	n/a	62.50	0.0
FORWARD MGMT	033	INVN	S	20,000	16.52	n/a	n/a	800.00	0.0
BRONSON POINT	036	IP	B	50,000	44.24	n/a	17-Jun	1,500.00	0.0
ROSEDALE CAPITAL	046	IP	B	14,000	43.76	n/a	17-Jun	560.00	0.0
SYMPHONY ASSET	033	IVZ	S	7,514	32.78	n/a	2-Mar	0.00	0.0
FIFTH THIRD BANK/FREEMAN	047	IWB	S	30,520	98.64	n/a	n/a	1,220.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	IWM	B	10,000	109.79	n/a	n/a	300.00	0.0
WEXFORD CAPITAL	284	IWM	SS	46,000	109.54	n/a	n/a	1,380.00	0.0
LISTED ERR	099	IWN	B	600	94.87	n/a	n/a	0.00	0.0
LISTED ERR	099	IWN	SS	600	94.87	n/a	n/a	0.00	0.0
LATEEF MGMT	033	JNJ	S	500	92.78	n/a	n/a	50.00	0.0
MAPLE ROW	006	KLAC	B	1,500	64.08	n/a	n/a	45.00	0.0
SCOPUS FUND	041	LAD	B	14,000	64.70	n/a	n/a	560.00	0.0
JSRG CAPITAL PARTNERS LP	084	LCC	B	10,000	22.50	n/a	18-Jun	500.00	0.0
ESSENCIAL CAPITAL	031	LEA	S	5,000	78.82	n/a	19-Jun	150.00	0.0
MAPLE ROW	006	LIN	B	2,500	24.68	n/a	n/a	75.00	0.0
BRONSON POINT	036	LPX	B	100,000	16.25	n/a	19-Jun	3,000.00	0.0
COOPER CREEK PART	028	LPX	B	20,000	16.20	n/a	19-Jun	800.00	0.0
CR INTRINIC INVESTMENT	044	LPX	B	50,000	16.00	n/a	19-Jun	1,500.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	16.07	n/a	19-Jun	3,750.00	0.0
NEWLAND CAPITAL MGT	025	LPX	B	15,000	16.24	n/a	19-Jun	600.00	0.0
ADAGE CAPITAL MGMT	030	LULU	B	18,140	69.31	n/a	19-Jun	544.20	0.0
BRONSON POINT	036	LULU	B	68,000	69.53	n/a	19-Jun	2,040.00	0.0
HERRING CREEK CAPITAL	040	LULU	C	51,900	69.52	n/a	19-Jun	1,557.00	0.0
BARON ASSET MGMT*	006	MASI	S	10,500	26.52	n/a	n/a	315.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	MCK	S	520	158.95	n/a	n/a	15.60	0.0
NEUBERGER BERMAN	036	MEOH	S	25,250	59.08	n/a	n/a	1,010.00	0.0
MAPLE ROW	006	MKSI	B	3,000	29.28	n/a	n/a	90.00	0.0
LATEEF MGMT	033	MRK	B	650	45.44	n/a	n/a	80.00	0.0
LATEEF MGMT	033	MSFT	S	750	36.55	n/a	n/a	75.00	0.0
FORWARD MGMT	033	NILE	B	5,000	41.67	n/a	n/a	200.00	0.0
SYMPHONY ASSET	033	NSM	B	3,605	50.27	n/a	n/a	0.00	0.0
LATEEF MGMT	033	OLN	B	300	23.28	n/a	n/a	30.00	0.0
SYMPHONY ASSET	033	PFG	B	5,740	47.70	n/a	n/a	0.00	0.0
FRED ALGER MGMT	300	PXD	S	22,960	211.11	n/a	13-Jun	826.56	0.0
FRED ALGER MGMT	300	QCOR	B	330	62.50	n/a	n/a	11.88	0.0
FORWARD MGMT	033	QLGC	B	30,000	12.32	n/a	n/a	1,200.00	0.0
FIRST NEW YORK	086	RAD	B	20,000	5.38	n/a	n/a	800.00	0.0
INTERVAL PARTNERS	033	ROST	SS	20,000	77.51	n/a	18-Jun	600.00	0.0
SYMPHONY ASSET	033	SKT	S	2,603	34.27	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	SUSQ	S	21,788	11.78	n/a	n/a	871.52	0.0
WEXFORD CAPITAL	284	SVU	B	60,749	7.15	n/a	n/a	1,822.47	0.0
ADAGE CAPITAL MGMT	030	SWY	B	64,300	35.16	n/a	n/a	1,929.00	0.0
ADAGE CAPITAL MGMT	030	TGT	B	109,700	64.88	n/a	23-May	3,291.00	0.0
RATAN CAPITAL MGMT LP	041	VRX	B	50,000	109.49	n/a	n/a	1,500.00	0.0
S.A.C. CAPITAL	044	WM	SS	15,000	43.73	n/a	n/a	450.00	0.0
LATEEF MGMT	033	WY	B	800	29.66	n/a	19-Jun	80.00	0.0
MAPLE ROW	006	YGE	S	4,800	7.03	n/a	n/a	144.00	0.0
PARKWEST	084	Z	B	40,000	81.51	n/a	n/a	1,600.00	0.0
TOTAL (Trade Date) :								61,689.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/01	SYMPHONY ASSET (SYMPOVERTU)	033	BRKR	B	2,140	19.34	n/a	n/a	64.20	0.0
AO,CXL	11/01	SYMPHONY ASSET (SYMPIMFBRA)	033	BRKR	B	4,160	19.34	n/a	n/a	124.80	0.0
AO,CXL	11/01	SYMPHONY ASSET (SYMPIMF2)	033	BRKR	B	6,250	19.34	n/a	n/a	187.50	0.0
AO,CXL	11/01	SYMPHONY ASSET (SYMPIMFBRA)	033	BRKR	B	5,170	19.34	n/a	n/a	155.10	0.0
AO,CXL	11/01	SYMPHONY ASSET (SYMPIMF)	033	BRKR	B	7,730	19.34	n/a	n/a	231.90	0.0
AO,CXL	11/01	SYMPHONY ASSET (SYMPBRAVUR)	033	BRKR	B	1,010	19.34	n/a	n/a	30.30	0.0
AO,	11/01	SYMPHONY ASSET (SYMPJPM)	033	BRKR	B	26,460	19.34	n/a	n/a	793.80	0.0
AO,CXL	11/04	PALISADE CAPITAL MANAGEMENT LLC (PALSRBCPR) 025	CVRR	B		9,080	21.46	n/a	n/a	363.20	0.0
AO,	11/04	PALISADE CAPITAL MANAGEMENT LLC (PALSRBCPR) 025	CVRR	B		9,080	21.46	n/a	n/a	363.20	0.0
AO,	11/04	CAERUS GLOBAL (CAERGSMAN)	85	F	B	5,440	16.89	n/a	19-Jun	217.60	0.0
AO,	11/04	CAERUS GLOBAL (CAERJPMNON)	085	F	B	960	16.89	n/a	19-Jun	38.40	0.0
AO,CXL	11/04	EDGEWOOD (EDGEGROWFD)	085	F	B	6,400	16.89	n/a	19-Jun	256.00	0.0
AO,CXL	11/04	EDGEWOOD (EDGEGROWFD)	085	FBHS	B	26,785	42.72	n/a	n/a	1071.40	0.0
AO,	11/04	SYMPHONY ASSET (SYMPIMFBRA)	033	FBHS	B	3,760	42.72	n/a	n/a	112.80	0.0
AO,	11/04	SYMPHONY ASSET (SYMPIMFBRA)	033	FBHS	B	4,670	42.72	n/a	n/a	140.10	0.0
AO,	11/04	SYMPHONY ASSET (SYMPBRAVUR)	033	FBHS	B	910	42.72	n/a	n/a	27.30	0.0
AO,	11/04	SYMPHONY ASSET (SYMPNUVLGG)	033	FBHS	B	195	42.72	n/a	n/a	5.85	0.0
AO,	11/04	SYMPHONY ASSET (SYMPNUVOPL)	033	FBHS	B	17,250	42.72	n/a	n/a	517.50	0.0
AO,CRT	10/31	TIEDEMANN/TIG ADVISORS LLC (TIEDPERSH) 006	IYK	SS		6,560	93.87	n/a	n/a	328.00	0.0
AO,CXL	10/31	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE) 006	IYK	SS		6,560	93.87	n/a	n/a	328.00	0.0
AO,CRT	10/31	TIEDEMANN/TIG ADVISORS LLC (TIEDPERSH) 006	XLY	B		6,130	63.28	n/a	n/a	306.50	0.0
AO,CXL	10/31	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE) 006	XLY	B		6,130	63.28	n/a	n/a	306.50	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/04	CADIAN CAPITAL (CADIMS)	041	XRT	SS	12,000	85.09	n/a	n/a	0.00	0.0
AO,	11/04	CADIAN CAPITAL (CADIMS)	041	XRT	SS	12,000	85.09	n/a	n/a	360.00	0.0
TOTAL (AO, CXL, CRT) :										92.15	

TOTAL (Trade Date) :	61,689.12
TOTAL (AO, CXL, CRT) :	92.15

TOTAL (RUN DATE) / NFS:	61,781.27
--------------------------------	------------------

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