



Daily Compliance Activity Report

Trade Date: 02/10/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	033	AAPL	B	200	519.87	n/a	n/a	8.00	0.0
PRIMECAP MGMT	084	ABT	B	10,000	37.20	n/a	n/a	400.00	0.0
LAKEWOOD CAPITAL MGMT	085	AIG	B	7,000	48.90	n/a	n/a	210.00	0.0
APEX CAPITAL MGMT.	033	APA	B	800	81.15	n/a	13-Jun	32.00	0.0
CR INTRINIC INVESTMENT	044	BBY	SS	20,000	24.22	n/a	n/a	600.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	BCOR	B	25,000	24.66		n/a	n/a	1,250.00 0.0
APEX CAPITAL MGMT.	033	BID	B	500	45.80	n/a	n/a	20.00	0.0
EPOCH INV MGMT	030	BWS	B	37,467	23.74	n/a	n/a	1,124.01	0.0
CASTLEROCK	040	CAKE	B	2,000	44.77	n/a	25-Apr	40.00	0.0
APEX CAPITAL MGMT.	033	CF	B	300	233.72	n/a	n/a	12.00	0.0
EVERGREEN	047	CHD	B	50,382	64.82	n/a	17-Jun	2,015.28	0.0
SURVEYOR CAPITAL	251	CHD	SS	45,811	64.79	n/a	17-Jun	1,832.44	0.0
CR INTRINIC INVESTMENT	044	CVS	B	10,000	66.84	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	CVS	B	215,623	66.76	n/a	n/a	7,762.43	0.0
LEVIN CAPITAL STRATEGIES	041	CWH	S	34,967	25.79	n/a	n/a	1,049.01	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	033	CXO	B	700	107.34	n/a	n/a	28.00	0.0
CYRUS CAPITAL	025	DAL	S	100,000	31.01	n/a	18-Jun	3,000.00	0.0
J. GOLDMAN	028	DDS	C	15,000	86.69	n/a	n/a	600.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	DE	C	25,000	87.57		n/a 11-Jul	1,250.00	0.0
APEX CAPITAL MGMT.	033	EQIX	B	900	186.22	n/a	n/a	36.00	0.0
ASCEND PARTNERS	033	FL	B	36,400	38.46	n/a	19-Jun	1,092.00	0.0
FRED ALGER MGMT	300	FNGN	S	13,200	60.11	n/a	n/a	475.20	0.0
BARROW HANLEY MEWHINNEY	031	F	B	500,000	14.90	n/a	19-Jun	17,500.00	0.0
MOORE CAPITAL	257	GPS	B	24,000	41.85	n/a	n/a	720.00	0.0
MOORE CAPITAL	257	HOG	B	15,500	64.59	n/a	n/a	465.00	0.0
S.A.C. CAPITAL	044	IP	B	10,000	47.86	n/a	17-Jun	300.00	0.0
CR INTRINIC INVESTMENT	044	KSS	SS	10,000	50.72	n/a	18-Jun	300.00	0.0
HOLLIS CAPITAL	033	LGF	B	5,000	32.05	n/a	n/a	250.00	0.0
APEX CAPITAL MGMT.	033	MELI	B	700	95.60	n/a	n/a	28.00	0.0
J. GOLDMAN	028	MON	SS	30,000	111.29	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	033	NBL	B	1,000	65.71	n/a	n/a	40.00	0.0
APEX CAPITAL MGMT.	033	NFLX	B	900	428.97	n/a	n/a	36.00	0.0
SEVEN LOCKS CAPITAL	025	NRF	B	135,000	14.29	n/a	n/a	4,050.00	0.0
SAC CHRIS C	041	OFIX	B	11,000	20.89	n/a	n/a	330.00	0.0
CAPITAL WORLD	084	PEP	S	455,825	80.54	n/a	n/a	15,953.88	0.0
APEX CAPITAL MGMT.	033	PKI	B	1,000	43.81	n/a	n/a	40.00	0.0
APEX CAPITAL MGMT.	033	PRGO	B	800	145.40	n/a	18-Jun	32.00	0.0
LAKEWOOD CAPITAL MGMT	085	PRKR	SS	10,000	4.80	n/a	n/a	300.00	0.0
APEX CAPITAL MGMT.	033	PVH	B	600	121.50	n/a	14-Jun	24.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	103.45	n/a	17-Jun	750.00	0.0
APEX CAPITAL MGMT.	033	ROST	B	1,000	69.18	n/a	18-Jun	40.00	0.0
APEX CAPITAL MGMT.	033	SBUX	B	1,000	74.54	n/a	17-Jun	40.00	0.0
IRIDIAN ASSET	036	SEE	B	85,700	31.94	n/a	2-Jun	4,285.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	SSO	S	5,000	96.65		n/a	n/a	200.00 0.0
ADAGE CAPITAL MGMT	310	SWY	B	26,445	32.01	n/a	n/a	793.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	TCK	B	200,000	24.84	n/a	n/a	10,000.00	0.0
APEX CAPITAL MGMT.	033	TCS	B	700	38.50	n/a	n/a	28.00	0.0
PRIMECAP MGMT	084	TMO	B	3,000	118.56	n/a	n/a	120.00	0.0
CHARTERBRIDGE CAPITAL	025	TPX	SS	40,000	45.75	n/a	n/a	1,200.00	0.0
APEX CAPITAL MGMT.	033	TRMB	B	700	31.84	n/a	n/a	28.00	0.0
T. ROWE PRICE	243	TXI	S	27,330	79.75	n/a	n/a	1,093.20	0.0
NOKOMIS PARTNERS	031	UNG	B	75,000	22.97	n/a	n/a	2,250.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	UWM	S	5,000	77.57		n/a	n/a	200.00 0.0
NEW VERNON/SF INVESTMENTS	031	WNC	B	62,000	12.31	n/a	n/a	3,100.00	0.0
MOORE CAPITAL	257	XLB	C	50,000	44.86	n/a	n/a	1,500.00	0.0
KLEINHEINZ CAP PART	031	XRT	S	75,000	80.39	n/a	n/a	3,750.00	0.0
TOTAL (Trade Date) :								94,082.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	AAPL	B	100	520.49	n/a	n/a	4.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	AAPL	B	100	520.49	n/a	n/a	4.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	CAG	S	7,000	30.87	n/a	n/a	280.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	CAG	S	7,000	30.87	n/a	n/a	280.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	CNX	B	300	36.44	n/a	n/a	12.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	CNX	B	300	36.44	n/a	n/a	12.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	COH	S	1,700	46.80	n/a	30-May	68.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	COH	S	1,700	46.80	n/a	30-May	68.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	DVN	B	800	60.46	n/a	13-Jun	32.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	DVN	B	800	60.46	n/a	13-Jun	32.00 0.0
AO,CXL	02/07	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	10,000	36.36	n/a	19-Jun	300.00 0.0
AO,CXL	02/07	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	5,000	36.00	n/a	19-Jun	150.00 0.0
AO,	02/07	PCO CAPITAL MGMT. (PCOMBTIGGS)	084	GM	B	15,000	36.24	n/a	19-Jun	450.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	T	S	4,000	31.99	n/a	n/a	160.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	T	S	4,000	31.99	n/a	n/a	160.00 0.0
AO,CRT	02/07	GAMCO ASSET MNGMT (GABEWESTIN)	025	TUP	S	800	76.32	n/a	n/a	32.00 0.0
AO,CXL	02/07	GAMCO ASSET MNGMT (GABEWESTWO)	025	TUP	S	800	76.32	n/a	n/a	32.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	94,082.80
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TOTAL (RUN DATE) / NFS:	94,082.80
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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