



Daily Compliance Activity Report

Trade Date: 09/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	091	ADM	S	600	37.20	n/a	n/a	24.00	0.0
PATTEN & PATTEN	025	AML	B	2,000	17.53	n/a	n/a	100.00	0.0
S.A.C. CAPITAL	044	ATI	SS	7,500	31.05	n/a	11-Jun	225.00	0.0
ROTHSCHILD ASSET	040	BEN	S	25,900	52.41	n/a	2-Mar	1,036.00	0.0
ROSEDALE CAPITAL	046	BRCM	S	10,000	27.97	n/a	n/a	400.00	0.0
CAERUS GLOBAL	041	CAB	B	5,000	63.61	n/a	n/a	200.00	0.0
BTG PACTUAL	040	CAKE	SS	20,000	44.41	n/a	25-Apr	600.00	0.0
FIRST NY SEC/CHRIS	041	CAKE	SS	5,000	44.32	n/a	25-Apr	250.00	0.0
RIDGECREST INV MGMT LLC	028	CAKE	SS	6,500	44.37	n/a	25-Apr	260.00	0.0
PATTEN & PATTEN	025	COV	B	1,000	62.84	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	CP	B	600	127.03	n/a	n/a	30.00	0.0
BROADARCH CAP/OLD NEWC	006	DAL	B	4,000	23.70	n/a	18-Jun	160.00	0.0
PATTEN & PATTEN	025	DBD	B	2,000	29.63	n/a	16-Jul	100.00	0.0
IMPALA ASSET MMT	040	DE	S	33,336	83.89	n/a	11-Jul	1,666.80	0.0
J. GOLDMAN	028	DKS	SS	30,000	53.00	n/a	19-Jun	1,200.00	0.0

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PROVIDENCE EQUITY CAP. MKTS.040		DOLE	S	69,000	13.60	n/a	n/a	2,070.00	0.0
CASTLEROCK	040	DRI	B	4,000	47.01	n/a	17-Jun	160.00	0.0
OTTER CREEK MGMT	093	DRI	B	30,000	47.30	n/a	17-Jun	1,500.00	0.0
OZ MGMT	040	DRI	C	89,792	46.65	n/a	17-Jun	2,693.76	0.0
BRIGADE CAPITAL MGMT	029	DRYS	S	100,000	3.56	n/a	n/a	3,000.00	0.0
FIRST NY SEC/CHRIS	041	EAT	SS	6,000	41.15	n/a	13-May	300.00	0.0
FIFTH THIRD BANK/FREEMAN	047	EFA	B	6,250	64.43	n/a	n/a	312.50	0.0
PATTEN & PATTEN	025	EPP	S	2,000	48.33	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	EWG	S	2,500	28.02	n/a	n/a	125.00	0.0
IMPALA ASSET MMT	040	EXPD	B	100,000	45.16	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	EZU	B	2,500	38.09	n/a	n/a	125.00	0.0
IMPALA ASSET MMT	040	FLR	B	40,000	72.46	n/a	n/a	2,000.00	0.0
BARROW HANLEY MEWHINNEY	031	GD	B	184,855	88.72	n/a	5-Apr	6,469.93	0.0
J. GOLDMAN	028	GPS	SS	50,000	41.67	n/a	n/a	2,000.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	10,112	27.07	n/a	n/a	303.36	0.0
MATRIX ASSET ADV.	091	HPQ	B	1,000	21.49	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	HTZ	S	50,000	26.01	n/a	n/a	1,500.00	0.0
S.A.C. CAPITAL	044	IP	SS	20,000	47.98	n/a	17-Jun	600.00	0.0
KOLVEN CAPITAL	025	IYE	B	4,625	48.35	n/a	n/a	138.75	0.0
S.A.C. CAPITAL	044	IYR	SS	50,000	65.62	n/a	n/a	1,500.00	0.0
KOLVEN CAPITAL	025	IYW	B	3,200	80.22	n/a	n/a	96.00	0.0
MACELLUM CAPITAL	086	JCP	B	99,000	13.20	n/a	18-Jun	2,970.00	0.0
S.A.C. CAPITAL	044	JCP	SS	300,000	13.01	n/a	18-Jun	9,000.00	0.0
MERRILL ASSET/BLACKROCK	085	JPM	S	8,372	52.90	n/a	17-Jun	334.88	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	38.30	n/a	6-May	750.00	0.0
PRIMECAP MGMT	084	LLY	B	7,000	54.12	n/a	n/a	280.00	0.0
MERRILL ASSET/BLACKROCK	085	LM	S	2,100	34.46	n/a	2-Mar	84.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	18.08	n/a	19-Jun	3,750.00	0.0
S.A.C. CAPITAL	044	LYB	B	10,000	73.39	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	MCD	S	50,000	97.75	n/a	17-Jun	1,500.00	0.0
ROVER CAPITAL PARTNERS	040	MMM	SS	2,500	121.80	n/a	n/a	100.00	0.0
CAERUS GLOBAL	041	M	B	10,000	44.68	n/a	18-Jun	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	NCLH	B	18,400	32.97	n/a	n/a	552.00	0.0
PATTEN & PATTEN	025	NSC	S	1,000	77.97	n/a	n/a	50.00	0.0
SANDLER O'NEILL ASSET	031	NTRS	SS	15,069	56.01	n/a	6-Jun	753.45	0.0
CAERUS GLOBAL	041	RHP	B	5,000	35.90	n/a	n/a	200.00	0.0
KORT	025	RKT	SS	5,000	110.52	n/a	17-Jun	150.00	0.0
WILLIAMS TRADING/NEWBROOK	306	RL	B	92,975	167.50	n/a	24-May	3,719.00	0.0
IMPALA ASSET MMT	040	RYL	S	80,000	40.89	n/a	n/a	4,000.00	0.0
CAERUS GLOBAL	041	SGMS	S	10,000	16.50	n/a	n/a	400.00	0.0
NEWLAND CAPITAL MGT	025	TC	B	10,000	3.57	n/a	n/a	200.00	0.0
INTERVAL PARTNERS	033	TGT	SS	20,000	65.02	n/a	23-May	600.00	0.0
TUDOR INVESTORS	028	TRW	S	10,000	72.38	n/a	n/a	300.00	0.0
TYVOR CAPITAL LLC	031	TUMI	S	2,754	21.42	n/a	n/a	82.62	0.0
EPOCH INV MGMT	030	UNH	S	138,312	71.22	n/a	n/a	4,149.36	0.0
PATTEN & PATTEN	025	VEU	B	365	49.36	n/a	n/a	18.25	0.0
ROVER CAPITAL PARTNERS	040	WFM	SS	2,900	58.22	n/a	n/a	145.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	84,175	11.70	n/a	n/a	2,525.25	0.0
WALL STREET CAPITAL	084	WNC	S	33,600	11.75	n/a	n/a	1,512.00	0.0
S.A.C. CAPITAL	044	WY	B	20,000	28.80	n/a	19-Jun	600.00	0.0
KOLVEN CAPITAL	025	XLE	SS	2,650	84.90	n/a	n/a	79.50	0.0
TOTAL (Trade Date) :								75,841.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/19	MAPLE LANE CAPITAL (MAPCGS)	040	FXI	B	50,000	38.71	n/a	n/a	2500.00 0.0
AO,	09/19	MAPLE LANE CAPITAL (MAPCGS)	040	FXI	B	50,000	38.71	n/a	n/a	2000.00 0.0
AO,CXL	09/19	STELLIAM INV ADV (STLLCSFB)	086	LPX	B	6,100	18.12	n/a	19-Jun	305.00 0.0
AO,	09/19	STELLIAM INV ADV (STLLCSFB)	086	LPX	B	6,100	18.12	n/a	19-Jun	244.00 0.0
AO,CXL	09/19	STELLIAM INV ADV (STLLMSEXEC)	086	LPX	B	43,900	18.12	n/a	19-Jun	2195.00 0.0
AO,	09/19	STELLIAM INV ADV (STLLMSEXEC)	086	LPX	B	43,900	18.12	n/a	19-Jun	1756.00 0.0
AO,CXL	09/19	IMPALA ASSET MMT (IMPAFIDELI)	040	MTH	S	21,861	45.00	n/a	n/a	0.00 0.0
AO,	09/19	IMPALA ASSET MMT (IMPAFIDELI)	040	MTH	S	21,861	45.00	n/a	n/a	1093.05 0.0
AO,CXL	09/19	IMPALA ASSET MMT (IMPACITI)	040	MTH	S	1,515	45.00	n/a	n/a	0.00 0.0
AO,	09/19	IMPALA ASSET MMT (IMPACITI)	040	MTH	S	1,515	45.00	n/a	n/a	75.75 0.0
AO,	09/19	BADGE CAPITAL (BADGJPM)	030	RGS	B	1,000	14.85	n/a	n/a	30.00 0.0
AO,CXL	09/19	BADGE CAPITAL (BADGUSBANK)	030	RGS	B	1,000	14.85	n/a	n/a	50.00 0.0
AO,	09/19	LOMAS CAPITAL (LOMAJPM)	040	USB	S	8,525	37.75	n/a	n/a	255.75 0.0
AO,CXL	09/19	LOMAS CAPITAL (LOMACSFB)	040	USB	S	114,000	37.75	n/a	n/a	3420.00 0.0
AO,	09/19	LOMAS CAPITAL (LOMACSFB)	040	USB	S	105,475	37.75	n/a	n/a	3164.25 0.0
TOTAL (AO, CXL, CRT) :										148.80

TOTAL (Trade Date):

75,841.41

TOTAL (AO, CXL, CRT):

148.80

TOTAL (RUN DATE) / NFS:

75,990.21

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