



## Daily Compliance Activity Report

Trade Date: 11/15/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AXL	B	25,000	18.87	n/a	19-Jun	1,000.00	0.0
J. GOLDMAN	028	CAT	S	21,000	83.73	n/a	11-Jul	840.00	0.0
FRED ALGER MGMT	300	CBS	S	4,850	60.49	n/a	n/a	174.60	0.0
PERELLA WEINBERG	085	CLX	C	29,674	93.30	n/a	17-Jun	1,483.70	0.0
CADIAN CAPITAL	041	CMG	S	1,000	548.53	n/a	3-Jun	30.00	0.0
LATEEF MGMT	033	DAL	S	500	28.05	n/a	18-Jun	50.00	0.0
CLOVIS CAPITAL	033	DAR	S	50,000	21.57	n/a	n/a	2,500.00	0.0
KAM ADVISORS LLC	041	DD	SS	21,000	61.88	n/a	n/a	630.00	0.0
ASCEND PARTNERS	033	DKS	S	10,000	55.67	n/a	19-Jun	300.00	0.0
HARVEST MGMT	029	DLTR	B	12,000	59.95	n/a	4-Jun	600.00	0.0
KAM ADVISORS LLC	041	DOW	SS	28,000	40.13	n/a	n/a	840.00	0.0
PERELLA WEINBERG	085	DRI	C	58,800	53.67	n/a	17-Jun	2,940.00	0.0
ASCEND PARTNERS	033	FL	B	60,300	36.66	n/a	19-Jun	1,809.00	0.0
INTERVAL PARTNERS	033	FL	S	10,000	36.78	n/a	19-Jun	300.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	FL	S	258,219	36.68	n/a	19-Jun	10,328.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	FL	B	50,000	36.68	n/a	19-Jun	2,000.00	0.0
HALCYON LLC	041	GM	B	50,000	38.60	n/a	19-Jun	1,500.00	0.0
MOORE CAPITAL	257	GM	B	50,000	38.90	n/a	19-Jun	1,500.00	0.0
<b>Õ Jack Chernus</b>		<b>HTZ</b>	<b>S</b>	<b>20</b>	<b>0.5000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	IACI	S	15,788	57.82	n/a	n/a	631.52	0.0
LATEEF MGMT	033	INTC	S	500	24.50	n/a	n/a	50.00	0.0
HALCYON LLC	041	IRM	B	50,000	30.00	n/a	n/a	1,500.00	0.0
LIONEYE CAPITAL	040	IRM	S	100,000	29.88	n/a	n/a	5,000.00	0.0
LATEEF MGMT	033	JCI	S	500	49.11	n/a	10-Jun	50.00	0.0
FRED ALGER MGMT	300	LAMR	B	117,635	50.76	n/a	n/a	4,234.86	0.0
CORVEX CAPITAL	041	LBTYA	S	57,289	80.25	n/a	n/a	1,718.67	0.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	250,000	23.74	n/a	18-Jun	10,000.00	0.0
CR INTRINIC INVESTMENT	044	LEG	SS	22,000	29.56	n/a	n/a	660.00	0.0
STRONG/MARK GRONET	030	LFL	B	15,000	16.56	n/a	n/a	600.00	0.0
ROSEDALE CAPITAL	046	MSFT	S	10,000	37.79	n/a	n/a	400.00	0.0
EVERGREEN	047	NOW	S	59,395	52.93	n/a	n/a	2,375.80	0.0
LATEEF MGMT	033	OI	S	500	33.48	n/a	n/a	50.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	PERY	S	51,963	14.74	n/a	n/a	1,558.89	0.0
CADIAN CAPITAL	041	PETM	C	25,000	74.23	n/a	n/a	750.00	0.0
FOUNDRY PARTNERS LLC	030	QCOM	B	750	71.91	n/a	n/a	30.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	RKT	B	20,000	95.22	n/a	17-Jun	600.00	0.0
MERRILL ASSET/BLACKROCK	085	STT	S	145,000	70.71	n/a	17-Jun	5,800.00	0.0
EVERGREEN	047	VIAB	S	125,000	80.15	n/a	n/a	5,000.00	0.0
EVERCORE WEALTH MGMT	047	VNDA	S	31	14.70	n/a	n/a	1.24	0.0
EVERGREEN	047	VNDA	S	99,548	14.70	n/a	n/a	3,981.92	0.0
SAC CHRIS C	041	VNDA	B	58,940	14.66	n/a	n/a	1,768.20	0.0
EVGR	047	VNDA	S	421	14.70	n/a	n/a	16.84	0.0
HARVEST MGMT	029	WMT	SS	9,000	79.07	n/a	16-May	450.00	0.0
CAERUS GLOBAL	041	WY	B	34,000	29.73	n/a	19-Jun	1,360.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>77,414.00</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/14	MAPLE LANE CAPITAL (MAPCGS)	040	GLW	B	100,000	16.86	n/a	n/a	5000.00 0.0
AO,	11/14	MAPLE LANE CAPITAL (MAPCGS)	040	GLW	B	100,000	16.86	n/a	n/a	4000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-1,000.00</b>
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TOTAL (Trade Date) :	77,414.00
TOTAL (AO, CXL, CRT) :	-1,000.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>76,414.00</b>
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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