



Daily Compliance Activity Report

Trade Date: 12/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	AAPL	S	300	544.38	n/a	n/a	12.00	0.0
BADGE CAPITAL	030	ACRE	B	1,000	12.80	n/a	n/a	35.00	0.0
CHART WELL ADV	028	AEL	S	175	24.70	n/a	n/a	7.00	0.0
CHART WELL ADV	028	AGII	S	100	46.14	n/a	n/a	4.00	0.0
CHART WELL ADV	028	AIMC	S	25	32.76	n/a	n/a	1.00	0.0
J. GOLDMAN	028	ALB	B	20,000	63.03	n/a	n/a	800.00	0.0
CHART WELL ADV	028	ALOG	S	50	89.24	n/a	n/a	2.00	0.0
FIRST NEW YORK	086	AMD	B	20,000	3.67	n/a	n/a	1,000.00	0.0
ARDSLEY PARTNERS	280	APOG	C	15,000	35.52	n/a	n/a	750.00	0.0
CHART WELL ADV	028	AVA	S	75	27.96	n/a	n/a	3.00	0.0
CHART WELL ADV	028	AXE	S	25	87.00	n/a	16-May	1.00	0.0
CADIAN CAPITAL	041	AZO	C	7,250	471.15	n/a	n/a	217.50	0.0
CASTLE ARK	031	BIIB	S	700	276.41	n/a	n/a	28.00	0.0
CHART WELL ADV	028	BKH	S	50	51.33	n/a	n/a	2.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	BLT	S	225	13.97	n/a	n/a	9.00	0.0
CHART WELL ADV	028	BRS	S	75	74.60	n/a	n/a	3.00	0.0
CASTLE ARK	031	BWA	S	3,000	54.60	n/a	19-Jun	120.00	0.0
ASCEND PARTNERS	033	BWC	B	40,000	33.31	n/a	n/a	1,200.00	0.0
CHART WELL ADV	028	B	S	100	37.09	n/a	n/a	4.00	0.0
CHART WELL ADV	028	CASY	S	100	71.76	n/a	n/a	4.00	0.0
CHART WELL ADV	028	CATM	S	175	43.05	n/a	n/a	7.00	0.0
CHART WELL ADV	028	CATO	S	125	30.69	n/a	n/a	5.00	0.0
CASTLE ARK	031	CBG	S	5,500	25.51	n/a	n/a	165.00	0.0
CHART WELL ADV	028	CCC	S	200	20.24	n/a	n/a	8.00	0.0
HIGHLINE ADV	044	CCL	SS	25,000	38.35	n/a	n/a	1,250.00	0.0
CHART WELL ADV	028	CLC	S	50	61.79	n/a	n/a	2.00	0.0
CORNERSTONE	030	CMCSA	B	191,915	50.54	n/a	n/a	5,757.45	0.0
CASTLE ARK	031	CME	S	3,600	83.76	n/a	28-Apr	144.00	0.0
CASTLE ARK	031	CMI	S	500	137.70	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	280	CMI	B	10,000	137.38	n/a	n/a	500.00	0.0
CHART WELL ADV	028	CNL	S	100	46.39	n/a	n/a	4.00	0.0
CASTLE ARK	031	COST	S	3,400	118.14	n/a	n/a	136.00	0.0
FORWARD MGMT	033	CVC	S	20,000	16.93	n/a	n/a	800.00	0.0
SENATOR INVESTMENT GROUP	287	CVS	B	20,000	69.91	n/a	n/a	600.00	0.0
CASTLE ARK	031	C	S	3,700	51.84	n/a	17-Jun	148.00	0.0
DELTEC ASSET MGMT.	040	DAL	S	15,000	27.50	n/a	18-Jun	750.00	0.0
WALL STREET CAPITAL	084	DFRG	B	20,000	22.02	n/a	n/a	900.00	0.0
CHART WELL ADV	028	DFT	S	100	23.76	n/a	n/a	4.00	0.0
CHART WELL ADV	028	DIOD	S	125	22.65	n/a	n/a	5.00	0.0
FRONTFOUR CAPITAL	046	DOW	B	50,000	44.25	n/a	n/a	1,500.00	0.0
CORTEX CAPITAL	031	DV	SS	25,000	34.69	n/a	n/a	750.00	0.0
KINGDON ASSET MGMT	041	EAT	SS	150,000	45.14	n/a	13-May	6,000.00	0.0
CHART WELL ADV	028	EDR	S	325	8.66	n/a	n/a	13.00	0.0
CHART WELL ADV	028	EE	S	100	33.86	n/a	n/a	4.00	0.0
CHART WELL ADV	028	ELNK	S	600	4.90	n/a	n/a	18.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	ESE	S	125	33.87	n/a	n/a	5.00	0.0
CHART WELL ADV	028	FELE	S	75	43.61	n/a	n/a	3.00	0.0
CHART WELL ADV	028	FFIN	S	50	64.16	n/a	n/a	2.00	0.0
FRED ALGER MGMT	300	FIG	S	40,500	8.61	n/a	n/a	1,215.00	0.0
BALYASNY ASSET MGMT	044	FINL	S	40,000	26.20	n/a	19-Jun	2,000.00	0.0
CASTLEROCK	040	FINL	B	10,000	26.27	n/a	19-Jun	400.00	0.0
SURVEYOR CAPITAL	251	FINL	B	25,000	26.20	n/a	19-Jun	1,000.00	0.0
CHART WELL ADV	028	FMBI	S	150	17.40	n/a	n/a	6.00	0.0
CHART WELL ADV	028	FNB	S	225	12.28	n/a	n/a	9.00	0.0
CHART WELL ADV	028	FN	S	200	19.39	n/a	n/a	8.00	0.0
BARON ASSET MGMT*	006	FOR	S	40,000	20.23	n/a	9-May	1,200.00	0.0
CHART WELL ADV	028	GB	S	150	40.78	n/a	n/a	6.00	0.0
CHART WELL ADV	028	GIII	S	100	66.16	n/a	n/a	4.00	0.0
CASTLE ARK	031	GILD	S	5,500	73.25	n/a	n/a	220.00	0.0
CHART WELL ADV	028	GK	S	50	61.62	n/a	n/a	2.00	0.0
CHART WELL ADV	028	GLF	S	150	44.61	n/a	n/a	6.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	GMT	S	100	50.38	n/a	n/a	4.00	0.0
ARDSLEY PARTNERS	280	GM	S	20,000	40.86	n/a	19-Jun	1,000.00	0.0
GABELLI FUNDS	025	GM	B	25,000	40.23	n/a	19-Jun	750.00	0.0
OZ MGMT	040	GM	B	100,000	40.20	n/a	19-Jun	3,000.00	0.0
PCO CAPITAL MGMT.	084	GM	S	40,000	40.34	n/a	19-Jun	1,200.00	0.0
CASTLE ARK	031	GNC	S	10,000	58.56	n/a	n/a	400.00	0.0
SCOPUS FUND	041	GNTX	SS	25,000	32.93	n/a	19-Jun	1,000.00	0.0
HARVEST MGMT	029	GPS	SS	20,000	38.25	n/a	n/a	800.00	0.0
CHART WELL ADV	028	HAE	S	100	42.79	n/a	n/a	4.00	0.0
CHART WELL ADV	028	HELE	S	50	48.22	n/a	n/a	2.00	0.0
CHART WELL ADV	028	HR	S	175	21.19	n/a	n/a	7.00	0.0
CHART WELL ADV	028	HSC	S	125	26.92	n/a	9-May	5.00	0.0
GLG PARTNERS	280	IYR	SS	23,265	62.85	n/a	n/a	1,163.25	0.0
CHART WELL ADV	028	JACK	S	100	48.67	n/a	n/a	4.00	0.0
CASTLE ARK	031	JBHT	S	3,900	75.96	n/a	n/a	156.00	0.0
KAM ADVISORS LLC	041	JCI	B	103,000	50.16	n/a	10-Jun	3,090.00	0.0
HOPLITE MGMT	025	JCP	SS	200,000	7.98	n/a	18-Jun	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	JCP	C	122,500	7.97	n/a	18-Jun	4,900.00	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086			JWN	C	5,000	60.46	n/a	18-Jun	150.00 0.0
CHART WELL ADV	028	KEG	S	425	7.59	n/a	13-Jun	17.00	0.0
CHART WELL ADV	028	KNL	S	150	17.13	n/a	n/a	6.00	0.0
CHART WELL ADV	028	KNX	S	225	18.21	n/a	n/a	9.00	0.0
CHART WELL ADV	028	KOP	S	100	45.46	n/a	n/a	4.00	0.0
CASTLE ARK	031	KSU	S	2,400	120.59	n/a	n/a	96.00	0.0
KLEINHEINZ CAP PART	031	LBTYA	B	40,000	85.35	n/a	n/a	2,000.00	0.0
DISIPLINED GROWTH INV.	030	LB	S	20,600	61.09	n/a	n/a	1,030.00	0.0
COUGAR TRADING	044	LULU	B	5,000	59.50	n/a	19-Jun	250.00	0.0
COUGAR TRADING	044	LULU	SS	10,000	58.77	n/a	19-Jun	500.00	0.0
KLEINHEINZ CAP PART	031	LVLTT	B	50,000	31.75	n/a	n/a	2,500.00	0.0
CHART WELL ADV	028	MAA	S	50	59.55	n/a	n/a	2.00	0.0
CHART WELL ADV	028	MATW	S	50	41.37	n/a	n/a	2.00	0.0
CASTLE ARK	031	MA	S	800	806.80	n/a	13-Jun	32.00	0.0
MATRIX ASSET ADV.	091	MET	S	500	52.10	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	MNRO	S	50	53.46	n/a	n/a	2.00	0.0
CASTLE ARK	031	MON	S	900	113.82	n/a	n/a	36.00	0.0
GLG PARTNERS	280	MRO	S	153,657	34.49	n/a	n/a	7,682.85	0.0
CHART WELL ADV	028	MTX	S	75	58.72	n/a	n/a	3.00	0.0
ARDSLEY PARTNERS	280	MTZ	B	25,000	30.45	n/a	n/a	1,250.00	0.0
LAKEWOOD CAPITAL MGMT	085	MU	B	50,000	21.98	n/a	n/a	1,500.00	0.0
EGS ASSOCIATES LP	091	M	B	5,500	52.38	n/a	18-Jun	275.00	0.0
RK CAPTIAL MGMT	046	NCFT	B	45,000	19.00	n/a	n/a	2,250.00	0.0
CHART WELL ADV	028	NPO	S	50	55.34	n/a	n/a	2.00	0.0
CHART WELL ADV	028	NWE	S	100	43.33	n/a	n/a	4.00	0.0
FARALLON CAP MGMT	040	ORCL	B	30,445	35.97	n/a	n/a	913.35	0.0
CHART WELL ADV	028	OZRK	S	100	54.69	n/a	n/a	4.00	0.0
CHART WELL ADV	028	PACW	S	100	42.13	n/a	n/a	4.00	0.0
CASTLE ARK	031	PCAR	S	1,900	57.32	n/a	n/a	76.00	0.0
BADGE CAPITAL	030	PFE	S	1,500	30.88	n/a	n/a	52.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	PFE	S	6,800	30.66	n/a	n/a	272.00	0.0
CASTLE ARK	031	PG	S	400	81.87	n/a	17-Jun	16.00	0.0
CASTLE ARK	031	PH	S	1,000	123.84	n/a	n/a	40.00	0.0
CASTLE ARK	031	PKI	S	5,600	40.50	n/a	n/a	224.00	0.0
CHART WELL ADV	028	PLXS	S	125	42.34	n/a	n/a	5.00	0.0
ARDSLEY PARTNERS	280	PNW	SS	5,000	53.10	n/a	n/a	250.00	0.0
CHART WELL ADV	028	PRGS	S	150	25.01	n/a	n/a	6.00	0.0
CHART WELL ADV	028	PSB	S	25	74.62	n/a	n/a	1.00	0.0
OMEGA ADVISORS	041	PVH	S	100,000	132.44	n/a	14-Jun	4,000.00	0.0
CASTLE ARK	031	QCOM	S	7,200	72.33	n/a	n/a	288.00	0.0
DONALD SMITH	088	RCL	S	35,000	45.79	n/a	n/a	1,050.00	0.0
CHART WELL ADV	028	RUSHA	S	100	28.42	n/a	n/a	4.00	0.0
BARON ASSET MGMT*	006	RYAAY	S	20,500	45.92	n/a	n/a	820.00	0.0
CHART WELL ADV	028	SBNY	S	25	106.20	n/a	n/a	1.00	0.0
CASTLE ARK	031	SBUX	S	2,800	77.07	n/a	17-Jun	112.00	0.0
CASTLE ARK	031	SHW	S	1,100	180.22	n/a	n/a	44.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	SIGI	S	150	26.70	n/a	n/a	6.00	0.0
CASTLE ARK	031	SLB	S	4,000	86.38	n/a	n/a	160.00	0.0
CHART WELL ADV	028	SSI	S	200	21.45	n/a	18-Jun	8.00	0.0
OZ MGMT	040	ST	SS	32,301	37.84	n/a	n/a	969.03	0.0
CHART WELL ADV	028	SYKE	S	150	20.97	n/a	n/a	6.00	0.0
WALL STREET CAPITAL	084	TCS	B	17,200	41.13	n/a	n/a	774.00	0.0
CASTLE ARK	031	TDC	S	2,800	42.24	n/a	n/a	112.00	0.0
CHART WELL ADV	028	THS	S	75	68.52	n/a	n/a	3.00	0.0
CLEARLINE CAPITAL LLC	006	TIBX	S	10,000	24.62	n/a	n/a	300.00	0.0
CASTLE ARK	031	TJX	S	5,300	62.54	n/a	18-Jun	212.00	0.0
CHART WELL ADV	028	TTC	S	75	61.43	n/a	n/a	3.00	0.0
CHART WELL ADV	028	UBSI	S	75	31.39	n/a	n/a	3.00	0.0
CHART WELL ADV	028	UMBF	S	50	63.72	n/a	n/a	2.00	0.0
CHART WELL ADV	028	UMPQ	S	225	18.79	n/a	n/a	9.00	0.0
ARDSLEY PARTNERS	280	URI	S	5,000	75.32	n/a	17-Apr	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	USTR	S	50	43.96	n/a	n/a	2.00	0.0
CASTLE ARK	031	WAB	S	2,700	73.55	n/a	n/a	108.00	0.0
INTERVAL PARTNERS	033	WAG	C	10,000	56.83	n/a	n/a	300.00	0.0
KAYNE ANDERSON ADV	084	WDFC	S	3,680	73.63	n/a	n/a	147.20	0.0
ROBERTSON STEVENS	084	WETF	S	168,620	17.03	n/a	n/a	6,744.80	0.0
KAM ADVISORS LLC	041	WYN	S	72,000	71.96	n/a	n/a	2,160.00	0.0
CASTLE ARK	031	XLNX	S	1,500	44.14	n/a	n/a	60.00	0.0
BARROW HANLEY MEWHINNEY	031	XYL	B	67,657	34.53	n/a	n/a	2,368.00	0.0
CHART WELL ADV	028	ZBRA	S	75	51.45	n/a	n/a	3.00	0.0
TOTAL (Trade Date) :								95,779.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	SCOPUS FUND (SCOPCS)	041	GM	B	50,000	40.22	n/a	19-Jun	2000.00 0.0
AO,CXL	12/18	SCOPUS FUND (SCOPGS)	041	GM	B	50,000	40.22	n/a	19-Jun	2000.00 0.0
AO,	12/18	AMICI CAPITAL N/C (PORTMS)	044	IBN	B	20,000	37.09	n/a	n/a	800.00 0.0
AO,CXL	12/18	AMICI CAPITAL N/C (PORTORLIN)	044	IBN	B	70,000	37.09	n/a	n/a	2800.00 0.0
AO,	12/18	AMICI CAPITAL N/C (PORTORLIN)	044	IBN	B	50,000	37.09	n/a	n/a	2000.00 0.0
AO,CXL	12/18	DC CAPITAL (DCCAGOLDMA)	044	JCP	S	100,000	8.20	n/a	18-Jun	4000.00 0.0
AO,	12/18	DC CAPITAL (DCCAGOLDMA)	044	JCP	S	100,000	8.20	n/a	18-Jun	3000.00 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (Trade Date) :										95,779.93
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (RUN DATE) / NFS:										94,779.93

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