



Daily Compliance Activity Report

Trade Date: 11/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	006	AAPL	S	300	518.99	n/a	n/a	12.00	0.0
NEUBERGER BERMAN	036	ABB	B	10,000	25.27	n/a	n/a	400.00	0.0
BMO / M&I FUNDS	047	ACAS	S	175,153	13.83	n/a	n/a	7,006.12	0.0
NEUBERGER BERMAN	036	AET	B	40,000	63.13	n/a	n/a	1,600.00	0.0
ESSENCIAL CAPITAL	031	APA	S	2,000	90.81	n/a	13-Jun	60.00	0.0
BROADARCH CAP/OLD NEWC	006	AXLL	B	5,000	42.59	n/a	n/a	200.00	0.0
ARDSLEY PARTNERS	280	AYI	SS	5,000	99.68	n/a	n/a	250.00	0.0
NEUBERGER BERMAN	036	BRKB	B	5,000	114.89	n/a	n/a	200.00	0.0
FRED ALGER MGMT	300	BRY	S	20,165	49.48	n/a	n/a	725.94	0.0
NEUBERGER BERMAN	036	CAG	B	15,000	32.59	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	CAH	B	5,000	60.92	n/a	n/a	200.00	0.0
MAPLE ROW	006	CAR	S	5,000	31.03	n/a	n/a	150.00	0.0
BROADARCH CAP/OLD NEWC	006	CMCSK	B	1,000	46.92	n/a	n/a	40.00	0.0
MSF CAPITAL(ENTRUST)	040	CVA	B	69,772	17.55	n/a	n/a	3,488.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CVE	B	10,000	28.87	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	006	CVS	B	3,000	63.73	n/a	n/a	120.00	0.0
AMICI CAPITAL N/C	044	DAL	S	80,000	26.82	n/a	18-Jun	3,200.00	0.0
BROADARCH CAP/OLD NEWC	006	DHR	SS	2,000	72.79	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	DOW	B	500	39.36	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	ESRX	B	1,000	65.38	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	006	FAZ	B	1,000	26.52	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	006	FB	S	4,500	48.34	n/a	n/a	180.00	0.0
CAMBIAR CAP	046	FDP	S	33,800	26.71	n/a	n/a	1,352.00	0.0
CAMBIAR CAP	046	FINL	S	10,066	24.82	n/a	19-Jun	402.64	0.0
BROADARCH CAP/OLD NEWC	006	GILD	S	1,000	67.52	n/a	n/a	40.00	0.0
ARDSLEY PARTNERS	280	GM	S	35,000	36.46	n/a	19-Jun	1,750.00	0.0
BROADARCH CAP/OLD NEWC	006	GOOG	S	2001,014.03		n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	B	2,000	163.76	n/a	6-May	80.00	0.0
BARON ASSET MGMT*	006	GWRE	B	10,000	46.32	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HSIC	B	5,000	109.79	n/a	n/a	200.00	0.0
MSF CAPITAL (ENTRUST)	040	INT	SS	16,194	37.25	n/a	n/a	809.70	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	370,750	7.53	n/a	18-Jun	11,122.50	0.0
NEUBERGER BERMAN	036	JPM	B	10,000	51.97	n/a	17-Jun	400.00	0.0
MACELLUM CAPITAL	086	KSS	SS	26,000	56.70	n/a	18-Jun	780.00	0.0
SCOPUS FUND	041	LAD	B	4,300	63.72	n/a	n/a	172.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	40,000	40.14	n/a	6-May	2,000.00	0.0
KENNEDY CAPITAL	046	LRN	B	69,710	19.19	n/a	n/a	2,788.40	0.0
NEUBERGER BERMAN	036	MAT	B	5,000	44.62	n/a	n/a	200.00	0.0
NEUBERGER BERMAN	036	MDLZ	B	15,000	32.36	n/a	n/a	600.00	0.0
ARDSLEY PARTNERS	280	MRC	S	25,000	30.24	n/a	n/a	1,250.00	0.0
NEUBERGER BERMAN	036	MSFT	B	10,000	37.70	n/a	n/a	400.00	0.0
ARDSLEY PARTNERS	280	MTZ	S	25,000	31.71	n/a	n/a	1,250.00	0.0
CORNERSTONE	030	MU	B	100,000	17.98	n/a	n/a	3,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	33.95	n/a	18-Jun	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	MWV	S	50,000	33.92	n/a	18-Jun	2,000.00	0.0
S.A.C. CAPITAL	044	M	B	35,000	46.22	n/a	18-Jun	1,050.00	0.0
NEUBERGER BERMAN	036	NFG	B	5,000	71.16	n/a	n/a	200.00	0.0
PRIMECAP MGMT	084	NKTR	B	9,200	8.94	n/a	n/a	276.00	0.0
WELCH CAPITAL	025	ORCL	B	45,840	34.26	n/a	n/a	1,833.60	0.0
WOODWAY FINANCIAL	031	PAA	B	87,000	51.66	n/a	n/a	2,610.00	0.0
NEUBERGER BERMAN	036	PFE	B	10,000	31.21	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	006	PKG	SS	2,000	60.75	n/a	17-Jun	80.00	0.0
ALLIANZ/NICOLAS APPLGATE	084	PRU	S	226,500	84.54		n/a	n/a	2,265.00 0.0
HAHN CAPITAL MANAGEMENT	084	PWR	B	135,142	30.27	n/a	n/a	6,757.10	0.0
BROADARCH CAP/OLD NEWC	006	QCOM	SS	500	66.88	n/a	n/a	20.00	0.0
NEUBERGER BERMAN	036	SLB	B	5,000	93.18	n/a	n/a	200.00	0.0
BROADARCH CAP/OLD NEWC	006	SNDK	SS	2,000	67.65	n/a	n/a	80.00	0.0
BMO / M&I FUNDS	047	SPLS	S	20,000	16.08		n/a	n/a	800.00 0.0
BROADARCH CAP/OLD NEWC	006	SSO	SS	2,000	92.95	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	SUNE	B	1,000	11.24	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	TMO	SS	2,000	97.34	n/a	n/a	80.00	0.0
CAERUS GLOBAL	041	TPX	S	744	46.87	n/a	n/a	29.76	0.0
CADIAN CAPITAL	041	TSCO	S	21,000	70.69	n/a	n/a	630.00	0.0
BROADARCH CAP/OLD NEWC	006	TWX	S	4,000	67.04	n/a	n/a	160.00	0.0
BROADARCH CAP/OLD NEWC	006	UHS	SS	2,000	78.91	n/a	n/a	80.00	0.0
ESSENCIAL CAPITAL	031	UNH	S	3,000	70.84	n/a	n/a	90.00	0.0
BROADARCH CAP/OLD NEWC	006	VXX	B	1,000	12.46	n/a	n/a	40.00	0.0
FRED ALGER MGMT	300	WMGI	B	36,000	26.75	n/a	n/a	1,296.00	0.0
TOTAL (Trade Date) :								71,615.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/06	SAC CHRIS C (SACDDB)	041	ARNA	B	50,000	4.17	n/a	n/a	1500.00	0.0
AO,	11/06	SAC CHRIS C (SACDDB)	041	ARNA	B	200,000	4.17	n/a	n/a	6000.00	0.0
AO,CXL	11/06	SAC CHRIS C (SACDMS)	041	ARNA	B	200,000	4.17	n/a	n/a	6000.00	0.0
AO,	11/06	SAC CHRIS C (SACDMS)	041	ARNA	B	50,000	4.17	n/a	n/a	1500.00	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNMLCO)	031	CBS	B	9,349	59.37	n/a	n/a	467.45	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNMLCO)	031	CBS	B	9,349	59.37	n/a	n/a	280.47	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNCSSE)	031	CBS	B	16,951	59.37	n/a	n/a	847.55	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNCSSE)	031	CBS	B	16,951	59.37	n/a	n/a	508.53	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNMSCO)	031	CBS	B	5,786	59.37	n/a	n/a	289.30	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNMSCO)	031	CBS	B	5,786	59.37	n/a	n/a	173.58	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNGS)	031	CBS	B	2,030	59.37	n/a	n/a	101.50	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNGS)	031	CBS	B	2,030	59.37	n/a	n/a	60.90	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNDB)	031	CBS	B	21,324	59.37	n/a	n/a	1066.20	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNDB)	031	CBS	B	21,324	59.37	n/a	n/a	639.72	0.0
AO,CXL	11/06	MAGNETAR FINANCIAL (MAGNCITI)	031	CBS	B	16,678	59.37	n/a	n/a	833.90	0.0
AO,	11/06	MAGNETAR FINANCIAL (MAGNCITI)	031	CBS	B	16,678	59.37	n/a	n/a	500.34	0.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	CPWR	S	38,259	10.50	n/a	n/a	1912.95	0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	CPWR	S	38,259	10.50	n/a	n/a	765.18	2.0
AO,CXL	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	EEP	S	74,562	30.06	n/a	n/a	3728.10	0.0
AO,CXL	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	EEP	S	438	29.96	n/a	n/a	21.90	0.0
AO,CRT	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	EEP	S	74,562	30.06	n/a	n/a	2236.86	3.0
AO,CRT	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	EEP	S	438	29.96	n/a	n/a	13.14	3.0
AO,CXL	11/06	CAERUS GLOBAL (CAERJPMCNS)	041	GM	B	3,824	36.91	n/a	19-Jun	191.20	0.0
AO,	11/06	CAERUS GLOBAL (CAERJPMCNS)	041	GM	B	3,824	36.91	n/a	19-Jun	152.96	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	CAERUS GLOBAL (CAERUNION)	041	GM	B	628	36.91	n/a	19-Jun	31.40 0.0
AO,	11/06	CAERUS GLOBAL (CAERUNION)	041	GM	B	628	36.91	n/a	19-Jun	25.12 0.0
AO,CXL	11/06	CAERUS GLOBAL (CAERGSMAN)	041	GM	B	20,548	36.91	n/a	19-Jun	1027.40 0.0
AO,	11/06	CAERUS GLOBAL (CAERGSMAN)	041	GM	B	20,548	36.91	n/a	19-Jun	821.92 0.0
AO,CXL	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	PAA	B	13,000	51.95	n/a	n/a	650.00 0.0
AO,CRT	11/06	WOODWAY FINANCIAL (WOODMAIN)	031	PAA	B	13,000	51.95	n/a	n/a	390.00 3.0
AO,	11/06	HAHN CAPITAL MANAGEMENT (HAHNLEONAR)	084	PWR	B	556	30.29	n/a	n/a	27.80 0.0
AO,CXL	11/06	HAHN CAPITAL MANAGEMENT (HAHNGREENL)	084	PWR	B	556	30.29	n/a	n/a	27.80 0.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	XLF	B	6,700	20.60	n/a	n/a	335.00 0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	XLF	B	6,700	20.60	n/a	n/a	268.00 4.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	XLK	S	4,100	33.95	n/a	n/a	205.00 0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN (FTCLMAIN)	047	XLK	S	4,100	33.95	n/a	n/a	164.00 4.0
TOTAL (AO, CXL, CRT) :										-4,708.13
TOTAL (Trade Date) :										71,615.36
TOTAL (AO, CXL, CRT) :										-4,708.13
TOTAL (RUN DATE) / NFS :										66,907.23

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