



Daily Compliance Activity Report

Trade Date: 12/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	BURL	B	10,000	31.68	n/a	n/a	400.00	0.0
FRONTFOUR CAPITAL	046	CMCSA	S	17,974	51.40	n/a	n/a	539.22	0.0
LATEEF MGMT	033	DOW	S	125	44.86	n/a	n/a	31.25	0.0
LATEEF MGMT	033	FCX	S	100	36.97	n/a	n/a	25.00	0.0
LISTED ERR	099	FOX	B	100	34.41	n/a	n/a	0.00	0.0
LISTED ERR	099	FOX	S	100	34.38	n/a	n/a	0.00	0.0
LATEEF MGMT	033	GE	S	175	27.88	n/a	n/a	35.00	0.0
LATEEF MGMT	033	GSPRD	B	150	18.40	n/a	n/a	30.00	0.0
BTG PACTUAL	040	JBLU	B	25,000	8.58	n/a	18-Jun	750.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	28,700	8.57	n/a	18-Jun	861.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	20,900	44.90	n/a	6-May	1,045.00	0.0
COUGAR TRADING	044	LULU	B	10,000	59.76	n/a	19-Jun	500.00	0.0
SCOPUS FUND	041	LULU	S	25,000	59.63	n/a	19-Jun	1,000.00	0.0
TYEE/TYGH	033	NAV	B	5,000	37.93	n/a	11-Jul	200.00	0.0
Õ Jack Chernus		OCZ	S	1500	0.0556	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	085	RCL	S	24,786	47.21	n/a	n/a	991.44	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	SPLS	S	150	15.91	n/a	n/a	27.00	0.0
TOTAL (Trade Date):								6,434.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFGS)	046	DAN	SS	12,820	19.62	n/a	19-Jun	256.40 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFGS)	046	DAN	SS	12,820	19.62	n/a	19-Jun	384.60 3.0
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFJPM)	046	DAN	SS	5,270	19.62	n/a	19-Jun	105.40 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFJPM)	046	DAN	SS	5,270	19.62	n/a	19-Jun	158.10 3.0
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFRBC)	046	DAN	SS	1,910	19.62	n/a	19-Jun	38.20 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFRBC)	046	DAN	SS	1,910	19.62	n/a	19-Jun	57.30 3.0
AO,CRT	12/24	SIGMA CAPITAL ASSOCIATES (SIGMMS)	041	JCP	SS	50,000	8.47	n/a	18-Jun	1500.00 0.0
AO,CXL	12/24	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	JCP	SS	50,000	8.47	n/a	18-Jun	1500.00 0.0
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFUSBK)	046	WNC	B	2,635	12.43	n/a	n/a	52.70 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFUSBK)	046	WNC	B	2,635	12.43	n/a	n/a	79.05 3.0
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFRBC)	046	WNC	B	955	12.43	n/a	n/a	19.10 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFRBC)	046	WNC	B	955	12.43	n/a	n/a	28.65 3.0
AO,CXL	12/24	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	6,410	12.43	n/a	n/a	128.20 0.0
AO,CRT	12/24	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	6,410	12.43	n/a	n/a	192.30 3.0
TOTAL (AO, CXL, CRT) :										300.00
TOTAL (Trade Date):										6,434.91
TOTAL (AO, CXL, CRT):										300.00
TOTAL (RUN DATE) / NFS:										6,734.91

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