



Daily Compliance Activity Report

Trade Date: 09/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	125,000	7.92	n/a	n/a	6,250.00	0.0
LATEEF MGMT	033	AA	S	300	7.91	n/a	n/a	30.00	0.0
WHITE PINE CAPITAL	030	ACLS	S	128,000	2.08	n/a	n/a	2,560.00	0.0
WHITE PINE CAPITAL	030	ALU	S	136,800	3.16	n/a	n/a	4,104.00	0.0
BESSEMER INVESTMENT	085	APD	S	4,450	102.97	n/a	n/a	178.00	0.0
LATEEF MGMT	033	BDN	B	250	12.96	n/a	n/a	25.00	0.0
HIGHBRIDGE CAP	041	BK	B	50,000	30.55	n/a	6-Jun	2,500.00	0.0
BERYLSON CAPITAL	030	BONT	B	87,000	11.00	n/a	18-Jun	2,610.00	0.0
HIGHBRIDGE CAP	041	CAB	SS	19,676	63.36	n/a	n/a	983.80	0.0
KENNEDY CAPITAL	046	CATO	B	18,667	25.90	n/a	n/a	746.68	0.0
LATEEF MGMT	033	CBL	B	350	19.50	n/a	n/a	35.00	0.0
LATEEF MGMT	033	CMCSK	S	100	41.27	n/a	n/a	28.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033		CVLT	B	960	84.71	n/a	n/a	28.80 0.0
DSM CAPITAL PARTNERS	085	EPAM	S	22,555	31.88	n/a	n/a	1,127.75	0.0
J. GOLDMAN	028	FDX	SS	30,000	108.17	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	FL	B	18,794	32.54	n/a	19-Jun	939.70	0.0
T. ROWE PRICE	243	FPO	S	34,700	12.41	n/a	n/a	1,388.00	0.0
BRIGADE CAPITAL MGMT	029	FST	S	9,000	5.70	n/a	n/a	270.00	0.0
FORTRESS INVESTMENT (US)	036	F	B	117,500	17.00	n/a	19-Jun	4,700.00	0.0
LATEEF MGMT	033	GIS	B	100	49.20	n/a	n/a	30.00	0.0
CAERUS GLOBAL	041	GM	S	46,800	36.26	n/a	19-Jun	1,872.00	0.0
HIGHBRIDGE CAP	041	GM	B	25,000	36.46	n/a	19-Jun	1,250.00	0.0
TIDE POINT CAPITAL	028	GM	B	20,000	35.93	n/a	19-Jun	600.00	0.0
MOORE CAPITAL	257	GRPN	B	15,000	10.74	n/a	n/a	450.00	0.0
HIGHBRIDGE CAP	041	GS	B	12,500	157.20	n/a	6-May	625.00	0.0
TIDE POINT CAPITAL	028	GT	B	15,000	20.78	n/a	n/a	450.00	0.0
HIGHBRIDGE CAP	041	ICE	B	2,550	179.00	n/a	n/a	127.50	0.0
LATEEF MGMT	033	INTC	B	125	22.72	n/a	n/a	31.25	0.0
MOORE CAPITAL	257	INTC	C	29,870	22.73	n/a	n/a	896.10	0.0
CASTLEROCK	040	JCP	B	28,757	14.29	n/a	18-Jun	1,150.28	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	19,800	84.01	n/a	n/a	792.00	0.0
KENNEDY CAPITAL	046	JOSB	B	16,300	41.95	n/a	n/a	652.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	4,813	37.06	n/a	6-May	240.65	0.0
DC CAPITAL	044	LCC	B	20,000	17.00	n/a	18-Jun	800.00	0.0
HOLLIS CAPITAL	033	LCC	S	5,000	16.86	n/a	18-Jun	250.00	0.0
STRONG/MARK GRONET	030	LCC	B	2,535	16.85	n/a	18-Jun	101.40	0.0
COBALT	041	LPX	B	100,000	17.42	n/a	19-Jun	4,000.00	0.0
MASTERS CAPITAL MANAGE	025	LPX	B	250,000	17.07	n/a	19-Jun	10,000.00	0.0
OZ MGMT	040	LPX	SS	50,000	17.03	n/a	19-Jun	1,500.00	0.0
KORT	025	LPX	B	50,000	17.07	n/a	19-Jun	1,500.00	0.0
CASTLEROCK	040	MCD	B	6,287	96.28	n/a	17-Jun	251.48	0.0
INTERVAL PARTNERS	033	MCD	C	25,000	96.10	n/a	17-Jun	750.00	0.0
CORTEX CAPITAL	031	MM	S	50,000	6.60	n/a	n/a	1,500.00	0.0
HIGHBRIDGE CAP	041	MU	SS	25,000	15.19	n/a	n/a	1,250.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033		NQ	B	14,026	17.09	n/a	n/a	420.78 0.0
J. GOLDMAN	028	OI	SS	21,000	29.84	n/a	n/a	840.00	0.0
LATEEF MGMT	033	OLN	B	150	22.82	n/a	n/a	30.00	0.0
ASCEND PARTNERS	033	PVH	S	15,022	130.34	n/a	14-Jun	450.66	0.0
T. ROWE PRICE	243	SUPX	S	15,400	24.01	n/a	n/a	616.00	0.0
HIGHBRIDGE CAP	041	TPX	B	24,654	42.20	n/a	n/a	1,232.70	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	TRIP	SS	16,550	74.43	n/a	n/a	827.50	0.0
LATEEF MGMT	033	WRIPRF	B	228	24.23	n/a	n/a	27.36	0.0
LATEEF MGMT	033	WY	B	350	28.51	n/a	19-Jun	35.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	50,000	28.50	n/a	19-Jun	1,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	YELP	B	12,169	62.49	n/a	n/a	365.07	0.0
DSM CAPITAL PARTNERS	085	YY	B	8,795	44.12	n/a	n/a	439.75	0.0
TOTAL (Trade Date):								67,559.21	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	CAB	SS	19,676	63.36	n/a	n/a	983.80 0.0
AO,CXL	08/29	BNP PARIBAS SEC (BNPPMAIN)	040	LEN	S	15,000	32.88	n/a	n/a	450.00 0.0
AO,CXL	08/29	BNP PARIBAS SEC (BNPPMAIN)	040	LEN	S	10,000	32.78	n/a	n/a	300.00 0.0
AO,	08/29	BNP PARIBAS SEC (BNPPMAIN)	040	LEN	S	25,000	32.84	n/a	n/a	750.00 0.0
AO,CXL	09/05	RBC CAPITAL MARKETS (RBCCMAIN)	040	SFD	S	20,000	33.91	n/a	n/a	800.00 0.0
AO,	09/05	RBC CAPITAL MARKETS (RBCCMAIN)	040	SFD	S	20,000	33.91	n/a	n/a	600.00 0.0
AO,	09/03	AMBER CAPITAL (AMBRGSI)	046	T	B	387,773	34.01	n/a	n/a	15510.90 0.0
AO,CXL	09/03	AMBER CAPITAL (AMBRSPC22)	046	T	B	74,357	34.01	n/a	n/a	2974.28 0.0
AO,CXL	09/03	AMBER CAPITAL (AMBRAMFGS)	046	T	B	387,773	34.01	n/a	n/a	15510.92 0.0
AO,	09/03	AMBER CAPITAL (AMBRAMFGS)	046	T	B	74,357	34.01	n/a	n/a	2974.28 0.0
CRT	09/06	HIGHBRIDGE CAP (HIBCGOLDPB)	041	TPX	B	24,654	42.20	n/a	n/a	1232.70 0.0

TOTAL (AO, CXL, CRT) :**2,016.48**

TOTAL (Trade Date) :

67,559.21

TOTAL (AO, CXL, CRT) :

2,016.48

TOTAL (RUN DATE) / NFS:**69,575.69**

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