



## Daily Compliance Activity Report

Trade Date: 11/11/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ACHC	B	275	43.69		n/a	n/a	5.50 0.0
MERRILL ASSET/BLACKROCK	085	APAM	S	6,600	61.51	n/a	n/a	264.00	0.0
INTERVAL PARTNERS	033	ASNA	B	20,000	20.73	n/a	n/a	600.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATHN	B	117	132.84		n/a	n/a	2.34 0.0
OMEGA ADVISORS	041	ATML	S	700,000	7.25	n/a	n/a	21,000.00	0.0
WADDELL AND REED	047	ATML	S	302,500	7.10	n/a	n/a	12,100.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATU	B	380	38.05		n/a	n/a	7.60 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AWAY	B	279	33.28		n/a	n/a	5.58 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	B	524	37.85		n/a	n/a	10.48 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BANR	B	234	39.12		n/a	n/a	4.68 0.0
KEY ASSET MGMT/VICTORY	220	BA	S	94,660	132.67	n/a	11-Jun	3,786.40	0.0
MERRILL ASSET/BLACKROCK	085	BBCN	S	25,000	15.09	n/a	n/a	1,000.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BC	B	414	45.51		n/a	n/a	8.28 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BECN	B	380	35.13		n/a	n/a	7.60 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BJRI	B	120	27.36		n/a	n/a	2.40 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BLOX	B	475	43.44		n/a	n/a	9.50 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		BZH	B	715	18.77		n/a	n/a	14.30 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CAR	B	201	32.65		n/a	n/a	4.02 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CASY	B	170	76.22		n/a	n/a	3.40 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CAVM	B	447	38.57		n/a	n/a	8.94 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CEB	B	227	72.57		n/a	n/a	4.54 0.0
SAC CHRIS C	041	CFN	SS	25,000	38.04	n/a	n/a	750.00	0.0
KEY ASSET MGMT/VICTORY	220	CHRW	B	178,000	59.33	n/a	n/a	7,120.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CNC	B	198	57.27		n/a	n/a	3.96 0.0
MAPLE LANE CAPITAL	040	CRUS	B	10,000	19.26	n/a	n/a	400.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CSGP	B	45	172.72		n/a	n/a	0.90 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		CVLT	B	83	75.26		n/a	n/a	1.66 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		DGI	B	561	35.32		n/a	n/a	11.22 0.0
CADIAN CAPITAL	041	DKS	B	9,500	54.05	n/a	19-Jun	285.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		DSX	B	699	11.76		n/a	n/a	13.98 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHRIS C	041	DVA	SS	25,000	56.95	n/a	n/a	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DW	B	229	51.32	n/a	n/a	4.58 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DXCM	B	369	33.17	n/a	n/a	7.38 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ECOL	B	303	34.67	n/a	n/a	6.06 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			EGP	B	143	61.09	n/a	n/a	2.86 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ELGX	B	402	17.81	n/a	n/a	8.04 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ENV	B	412	35.31	n/a	n/a	8.24 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			EXAM	B	531	26.14	n/a	n/a	10.62 0.0
CAMBIAR CAP	046	FINL	S	121,518	24.80	n/a	19-Jun	4,860.72	0.0
SCOPUS FUND	041	FINL	B	50,000	24.81	n/a	19-Jun	2,000.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			FUL	B	209	48.32	n/a	n/a	4.18 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			FURX	B	253	35.27	n/a	n/a	5.06 0.0
KEYGROUP/KGLT	040	FWLT	C	25,000	30.12	n/a	n/a	1,000.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GME	B	153	55.36	n/a	n/a	3.06 0.0
ARDSLEY PARTNERS	280	GM	B	25,000	36.87	n/a	19-Jun	1,250.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	C	18,000	36.90	n/a	19-Jun	540.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TIDE POINT CAPITAL	028	GPI	B	15,000	63.98	n/a	19-Jun	450.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GWRE	B	255	46.52	n/a	n/a	5.10 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GWR	B	105	98.89	n/a	n/a	2.10 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HAE	B	167	39.66	n/a	n/a	3.34 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HIMX	B	1,475	9.34	n/a	n/a	29.50 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HLS	B	402	34.45	n/a	n/a	8.04 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HMSY	B	144	21.25	n/a	n/a	2.88 0.0
BRONSON POINT	036	HOLX	S	100,000	22.62	n/a	n/a	3,000.00	0.0
SAC CHRIS C	041	HOLX	SS	175,000	22.61	n/a	n/a	5,250.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HOS	B	122	54.00	n/a	n/a	2.44 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HVT	B	245	27.29	n/a	n/a	4.90 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HXL	B	263	43.14	n/a	22-Apr	5.26 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			IMAX	B	601	29.45	n/a	n/a	12.02 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ININ	B	205	66.31	n/a	n/a	4.10 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			IWO	S	23,388	128.38	n/a	n/a	467.76 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			JACK	B	319	42.70	n/a	n/a	6.38 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		JLL	B	140	94.18		n/a	n/a	2.80 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		KERX	B	1,424	12.55		n/a	n/a	28.48 0.0
T. ROWE PRICE	243	KS	B	14,372	52.49	n/a	n/a	574.88	0.0
ELM RIDGE ADVISORS	044	LLY	S	3,969	49.60	n/a	n/a	158.76	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		LNN	B	121	78.64		n/a	n/a	2.42 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MINI	B	380	38.78		n/a	n/a	7.60 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MKTG	B	963	16.24		n/a	n/a	19.26 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MKTX	B	126	66.46		n/a	n/a	2.52 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		MMS	B	261	47.13		n/a	n/a	5.22 0.0
ELM RIDGE ADVISORS	044	MRK	S	4,986	46.95	n/a	n/a	199.44	0.0
COLUMBUS CIRCLE	036	MTH	S	7,372	41.04	n/a	n/a	294.88	0.0
HOTCHKIS & WILEY	084	MUR	B	147,000	61.95	n/a	n/a	5,880.00	0.0
J. GOLDMAN	028	MWV	B	14,000	34.29	n/a	18-Jun	560.00	0.0
ELM RIDGE ADVISORS	044	NBR	S	9,646	17.92	n/a	n/a	385.84	0.0
ELM RIDGE ADVISORS	044	NFX	S	5,955	29.69	n/a	n/a	238.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HALCYON LLC	041	NNN	S	108,000	32.82	n/a	n/a	3,240.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			NQ	B	215	13.47	n/a	n/a	4.30 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OAS	B	224	51.47	n/a	n/a	4.48 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ODFL	B	134	48.10	n/a	n/a	2.68 0.0
ELM RIDGE ADVISORS	044	ONNN	S	20,763	7.13	n/a	n/a	830.52	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OREX	B	806	5.03	n/a	n/a	16.12 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OSIS	B	228	73.45	n/a	n/a	4.56 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OZRK	B	171	50.91	n/a	n/a	3.42 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PBYI	B	97	36.97	n/a	n/a	1.94 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PEB	B	326	28.66	n/a	n/a	6.52 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PES	B	991	8.28	n/a	n/a	19.82 0.0
NEUBERGER BERMAN	036	POOL	B	15,547	53.86	n/a	n/a	621.88	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PRIM	B	428	28.40	n/a	n/a	8.56 0.0
MAPLE LANE CAPITAL	040	P	S	30,000	26.96	n/a	n/a	1,200.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			RESI	B	416	26.65	n/a	n/a	8.32 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOUNDRY PARTNERS LLC	030	ROK	B	250	112.64	n/a	n/a	10.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ROSE	B	307	55.08	n/a	n/a	6.14 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			RRGB	B	200	79.64	n/a	n/a	4.00 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			RYL	B	163	36.29	n/a	n/a	3.26 0.0
MERRILL ASSET/BLACKROCK	085	RYN	S	8,400	44.94	n/a	25-Jan	336.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SCAI	B	183	26.58	n/a	n/a	3.66 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SCBT	B	154	61.79	n/a	n/a	3.08 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SCS	B	925	15.99	n/a	n/a	18.50 0.0
COLUMBUS CIRCLE	036	SFLY	B	4,417	48.57	n/a	n/a	176.68	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SFLY	B	403	48.48	n/a	n/a	8.06 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SIX	B	376	36.94	n/a	n/a	7.52 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SLCA	B	207	33.59	n/a	n/a	4.14 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SONS	B	2,441	2.99	n/a	n/a	48.82 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SPNC	B	524	20.87	n/a	n/a	10.48 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SPSC	B	321	66.83	n/a	n/a	6.42 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SWFT	B	661	22.06	n/a	n/a	13.22 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHRIS C	041	SYK	SS	25,000	73.32	n/a	n/a	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			TBI	B	361	24.44	n/a	n/a	7.22 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			TFM	B	183	49.50	n/a	n/a	3.66 0.0
HOTCHKIS & WILEY	084	TOT	S	96,100	59.06	n/a	n/a	3,844.00	0.0
MAPLE LANE CAPITAL	040	TWTR	S	42,000	42.47	n/a	n/a	1,680.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			TXTR	B	319	31.38	n/a	n/a	6.38 0.0
BARROW HANLEY MEWHINNEY	031	T	S	104,000	35.02	n/a	n/a	3,640.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ULTI	B	47	156.80	n/a	n/a	0.94 0.0
FOUNDRY PARTNERS LLC	030	UNP	S	11,735	155.79	n/a	n/a	469.40	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			USG	B	410	26.39	n/a	29-Apr	8.20 0.0
BARROW HANLEY MEWHINNEY	031	VOD	B	95,600	36.48	n/a	n/a	3,346.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			VSI	B	297	50.68	n/a	n/a	5.94 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			WAGE	B	144	54.67	n/a	n/a	2.88 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			WEX	B	153	97.23	n/a	n/a	3.06 0.0
DAVIDSON INV ADV	033	WMT	S	31,810	78.90	n/a	16-May	1,272.40	0.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	78.20	n/a	16-May	750.00	0.0
BARROW HANLEY MEWHINNEY	031	XL	S	98,800	31.25	n/a	n/a	3,458.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			XRS	B	674	19.15	n/a	n/a	13.48 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			YELP	B	153	63.09	n/a	n/a	3.06 0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			ZUMZ	B	348	29.42	n/a	n/a	6.96 0.0
<b>TOTAL (Trade Date):</b>								<b>101,415.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/08	BLUE MOUNTAIN CAPITAL (BMCMLCO)	087	GPS	S	37,252	40.10	n/a	n/a	1117.56 0.0
AO,CXL	11/08	BLUE MOUNTAIN CAPITAL (BMCMJPM)	087	GPS	S	45,000	40.10	n/a	n/a	1350.00 0.0
AO,	11/08	BLUE MOUNTAIN CAPITAL (BMCMJPM)	087	GPS	S	7,748	40.10	n/a	n/a	232.44 0.0
AO,	11/08	TIEDEMANN/TIG ADVISORS LLC (TIEDPERSH)	006	IYK	SS	5,000	93.27	n/a	n/a	250.00 0.0
AO,CXL	11/08	TIEDEMANN/TIG ADVISORS LLC (TIEDBNY)	006	IYK	SS	5,000	93.27	n/a	n/a	250.00 0.0
AO,	11/08	BLUE MOUNTAIN CAPITAL (BMCMLCO)	087	JNK	S	289,735	40.45	n/a	n/a	8692.05 0.0
AO,CXL	11/08	BLUE MOUNTAIN CAPITAL (BMCMJPM)	087	JNK	S	350,000	40.45	n/a	n/a	10500.00 0.0
AO,	11/08	BLUE MOUNTAIN CAPITAL (BMCMJPM)	087	JNK	S	60,265	40.45	n/a	n/a	1807.95 0.0
AO,	11/08	HALCYON LLC (HALCBARCL)	041	NRG	SS	25,378	28.07	n/a	n/a	761.34 0.0
AO,CXL	11/08	HALCYON LLC (HALCDBSI)	041	NRG	SS	34,000	28.07	n/a	n/a	1020.00 0.0
AO,	11/08	HALCYON LLC (HALCDBSI)	041	NRG	SS	8,622	28.07	n/a	n/a	258.66 0.0

**TOTAL (AO, CXL, CRT) :****-0.00**

TOTAL (Trade Date):

101,415.88

TOTAL (AO, CXL, CRT):

-0.00

**TOTAL (RUN DATE) / NFS:****101,415.88**

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