



Daily Compliance Activity Report

Trade Date: 10/11/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARON ASSET MGMT*	006	ACC	B	7,100	34.43	n/a	n/a	284.00	0.0
PRIMECAP MGMT	084	AFFX	B	3,100	6.57	n/a	n/a	93.00	0.0
TUDOR INVESTORS	028	APD	B	5,000	108.16	n/a	n/a	150.00	0.0
INTERVAL PARTNERS	033	ASNA	SS	35,000	19.46	n/a	n/a	1,050.00	0.0
ROSEDALE CAPITAL	046	AXL	B	20,000	18.68	n/a	19-Jun	800.00	0.0
STATE TEACHERS RET SYS	047	BRCD	S	139,999	8.02	n/a	n/a	6,999.95	0.0
BALYASNY ASSET MGMT	044	CASY	SS	25,000	73.64	n/a	n/a	1,250.00	0.0
SENATOR INVESTMENT GROUP	287	CNX	SS	100,000	38.04	n/a	n/a	3,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	CYH	SS	20,000	43.40	n/a	n/a	600.00	0.0
TUDOR INVESTORS	028	DD	SS	5,000	57.96	n/a	n/a	150.00	0.0
IONIC CAPITAL MANAGEMENT	041	DFT	S	55,000	25.54	n/a	n/a	1,650.00	0.0
IONIC CAPITAL MANAGEMENT	041	DLR	S	25,600	55.11	n/a	n/a	768.00	0.0
BARON ASSET MGMT*	006	DWA	B	35,000	27.59	n/a	n/a	1,050.00	0.0
ROARING BLUE LION MGMT	031	EAT	SS	45,000	40.12	n/a	13-May	1,800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARON ASSET MGMT*	006	FCEA	B	7,420	18.85	n/a	n/a	222.60	0.0
ROTHSCHILD ASSET	040	FMER	B	61,113	22.18	n/a	n/a	2,444.52	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	22.01	n/a	9-May	400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	100,000	35.04	n/a	19-Jun	3,000.00	0.0
JETSTREAM GLOBAL FUND LP	065	GNRC	S	60,000	40.91	n/a	n/a	3,000.00	0.0
TUDOR INVESTORS	028	GWR	B	2,000	93.67	n/a	n/a	60.00	0.0
CSL ASSOCIATES	006	JBLU	B	4,898	6.88	n/a	18-Jun	146.94	0.0
FIRST NY SEC/CHRIS	041	JBLU	B	15,000	6.94	n/a	18-Jun	750.00	0.0
SCOPIA CAPITAL	025	JBLU	S	88,111	7.00	n/a	18-Jun	2,643.33	0.0
STELLIAM INV ADV	086	JBLU	B	20,000	6.86	n/a	18-Jun	400.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	155,110	6.93	n/a	18-Jun	6,204.40 0.0
HOLLIS CAPITAL	033	JPM	S	5,000	52.53	n/a	17-Jun	250.00	0.0
Õ May Tang		KORS	B	200	72.6100	n/a	30-May	0.00	0.0
ROTHSCHILD ASSET	040	LECO	S	10,694	68.05	n/a	n/a	427.76	0.0
DAVIDSON KEMPNER ADVISOR	281	LEG	SS	25,000	29.70	n/a	n/a	1,250.00	0.0
GALT INVESTMENT	041	LF	S	50,000	8.82	n/a	n/a	1,500.00	0.0
MACELLUM CAPITAL	086	LF	S	56,000	8.79	n/a	n/a	1,680.00	0.0
TUDOR INVESTORS	028	LII	S	2,000	73.73	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	LOGM	B	15,724	31.09	n/a	n/a	628.96	0.0
TYVOR CAPITAL LLC	031	LO	S	50,000	46.03	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	MON	SS	10,000	105.49	n/a	n/a	300.00	0.0
LIONEYE CAPITAL	040	MW	S	13,945	44.31	n/a	n/a	697.25	0.0
S.A.C. CAPITAL	044	NBIX	SS	50,000	10.37	n/a	n/a	1,500.00	0.0
PRIMECAP MGMT	084	ORCL	S	234,000	33.27	n/a	n/a	9,360.00	0.0
SENATOR INVESTMENT GROUP	287	PDCO	SS	61,973	40.39	n/a	n/a	1,859.19	0.0
BALYASNY ASSET MGMT	044	SCSS	SS	25,000	25.76	n/a	n/a	1,250.00	0.0
TUDOR INVESTORS	028	SON	B	5,000	38.05	n/a	n/a	150.00	0.0
LEVIN CAPITAL STRATEGIES	041	SPY	C	2,972	169.51	n/a	n/a	89.16	0.0
LEVIN CAPITAL STRATEGIES	041	STZ	S	10,193	61.94	n/a	17-Jun	305.79	0.0
TUDOR INVESTORS	028	ST	S	10,000	38.60	n/a	n/a	300.00	0.0
PRIMECAP MGMT	084	SYMC	S	260,120	25.05	n/a	n/a	10,404.80	0.0
CORVEX CAPITAL	041	TPX	SS	50,000	41.28	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	TXT	B	7,000	27.39	n/a	n/a	210.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	UBNT	S	38,666	36.97	n/a	n/a	1,546.64	0.0
S.A.C. CAPITAL	044	VVUS	SS	115,000	11.19	n/a	n/a	6,450.00	0.0
MARCATO CAPITAL MGMT.	029	VXX	B	750,000	14.43	n/a	n/a	30,000.00	0.0
INTERVAL PARTNERS	033	XLU	S	50,000	38.05	n/a	n/a	1,500.00	0.0
RIDGECREST INV MGMT LLC	028	XOP	SS	25,000	67.76	n/a	n/a	1,000.00	0.0
TOTAL (Trade Date):								114,636.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/10	TUDOR INVESTORS (TUDRJPM PB)	028	WBC	S	5,000	84.18	n/a	31-May	1.50 0.0
AO,CRT	10/10	TUDOR INVESTORS (TUDRJPM PB)	028	WBC	S	5,000	84.18	n/a	31-May	150.00 0.0

TOTAL (AO, CXL, CRT) :	148.50
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TOTAL (Trade Date) :	114,636.29
TOTAL (AO, CXL, CRT) :	148.50

TOTAL (RUN DATE) / NFS:	114,784.79
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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