



Daily Compliance Activity Report

Trade Date: 09/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	070	ACT	S	1,440	139.92	n/a	19-Jun	51.84	0.0
FRED ALGER MGMT	070	ADS	S	519	197.96	n/a	n/a	18.68	0.0
FRED ALGER MGMT	070	ALXN	S	1,544	111.80	n/a	n/a	55.58	0.0
CORTEX CAPITAL	031	BAC	S	200,000	14.37	n/a	17-Jun	6,000.00	0.0
KINGDON ASSET MGMT	041	BBBY	B	25,000	72.80	n/a	n/a	1,000.00	0.0
MACELLUM CAPITAL	086	BYD	S	40,000	11.99	n/a	n/a	1,200.00	0.0
HIGHBRIDGE CAP	041	CAB	SS	20,550	63.73	n/a	n/a	616.50	0.0
RBC CAPITAL MARKETS	040	CY	B	50,000	11.38	n/a	n/a	2,000.00	0.0
FARALLON CAP MGMT	040	DG	S	80,000	57.35	n/a	4-Jun	3,200.00	0.0
NEW VERNON	031	DXJ	B	100,000	46.36	n/a	n/a	4,000.00	0.0
HIGHBRIDGE CAP	041	EQIX	SS	3,000	176.66	n/a	n/a	90.00	0.0
SUFFOLK CAPITAL MGMT	040	ESI	B	2,200	29.16	n/a	n/a	81.00	0.0
CORTEX CAPITAL	031	FOSL	SS	8,000	114.08	n/a	n/a	240.00	0.0
SCOPUS FUND	041	F	SS	50,000	17.21	n/a	19-Jun	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	GM	B	50,000	36.69	n/a	19-Jun	1,500.00	0.0
ROSEDALE CAPITAL	046	GM	S	10,000	36.42	n/a	19-Jun	400.00	0.0
SUFFOLK CAPITAL MGMT	040	GTLS	B	1,000	116.66	n/a	n/a	40.00	0.0
HIGHBRIDGE CAP	041	IVZ	B	15,000	31.18	n/a	2-Mar	450.00	0.0
SUFFOLK CAPITAL MGMT	040	JBLU	B	20,000	6.24	n/a	18-Jun	600.00	0.0
1798 CAP/LOMBARD ASSET	040	JCI	B	10,000	41.71	n/a	10-Jun	500.00	0.0
CASTLEROCK	040	JCP	B	50,000	14.30	n/a	18-Jun	2,000.00	0.0
EGS ASSOCIATES LP	091	JCP	B	5,000	13.71	n/a	18-Jun	250.00	0.0
RIDGECREST INV MGMT LLC	028	JCP	B	10,000	14.07	n/a	18-Jun	400.00	0.0
Ö Ryan Mueller		JCP	B	500	13.9800	n/a	18-Jun	0.00	0.0
KENNEDY CAPITAL	046	JOSB	B	15,385	42.00	n/a	n/a	615.40	0.0
HALCYON LLC	041	KMIWS	S	200,000	5.12	n/a	n/a	4,000.00	0.0
SUFFOLK CAPITAL MGMT	040	KO	B	67,600	38.37	n/a	17-Jun	2,704.00	0.0
SCOPUS FUND	041	LPX	B	50,000	16.68	n/a	19-Jun	2,000.00	0.0
TUDOR INVESTORS	028	LPX	SS	10,000	16.63	n/a	19-Jun	300.00	0.0
KORT	025	LPX	B	25,000	16.95	n/a	19-Jun	750.00	0.0
CASTLEROCK	040	MCD	B	6,200	95.87	n/a	17-Jun	248.00	0.0
PATTEN & PATTEN	025	MCD	B	100	95.55	n/a	17-Jun	5.00	0.0
WEXFORD CAPITAL	284	MCD	B	5,300	96.15	n/a	17-Jun	159.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	MCD	B	2,600	95.86	n/a	17-Jun	130.00	0.0
TIDE POINT CAPITAL	028	MGA	B	5,000	80.71	n/a	n/a	150.00	0.0
SUFFOLK CAPITAL MGMT	040	MRK	B	26,100	47.46	n/a	n/a	1,044.00	0.0
KINGDON ASSET MGMT	041	M	B	25,000	45.32	n/a	18-Jun	1,000.00	0.0
PATTEN & PATTEN	025	NUE	B	225	46.68	n/a	n/a	11.25	0.0
MACELLUM CAPITAL	086	ODP	S	170,000	4.31	n/a	n/a	3,400.00	0.0
RIDGECREST INV MGMT LLC	028	PAG	B	12,500	41.29	n/a	19-Jun	500.00	0.0
RBC CAPITAL MARKETS	040	SFD	S	20,000	33.91	n/a	n/a	800.00	0.0
MACELLUM CAPITAL	273	SKX	S	16,000	31.26	n/a	n/a	480.00	0.0
FARALLON CAP MGMT	040	SPY	SS	6,000	165.98	n/a	n/a	240.00	0.0
T. ROWE PRICE	243	SUPX	S	13,900	24.07	n/a	n/a	556.00	0.0
HIGHBRIDGE CAP	041	TPX	B	3,000	41.50	n/a	n/a	90.00	0.0
DELTEC ASSET MGMT.	040	UAL	B	5,000	29.50	n/a	18-Jun	250.00	0.0
ADAGE CAPITAL MGMT	030	URBN	S	20,000	41.89	n/a	n/a	600.00	0.0
DC CAPITAL	044	WY	S	25,000	27.75	n/a	19-Jun	1,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	S	30,000	27.54	n/a	19-Jun	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	WY	B	10,000	27.48	n/a	19-Jun	300.00	0.0
KAM ADVISORS LLC	041	XLFX	S	178,215	19.83	n/a	n/a	5,346.45	0.0
TOTAL (Trade Date) :								54,272.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/04	CORTEX CAPITAL (CORTXMLCO)	031	JPM	B	50,000	52.00	n/a	17-Jun	2500.00 0.0
AO,CRT	09/04	CORTEX CAPITAL (CORTXMLCO)	031	JPM	B	50,000	52.00	n/a	17-Jun	1500.00 3.0
AO,CXL	09/03	AMBER CAPITAL (AMBRSPC22)	046	T	B	387,773	34.01	n/a	n/a	15510.92 0.0
AO,CRT	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	74,357	34.01	n/a	n/a	2974.28 0.0
AO,CRT	09/03	AMBER CAPITAL (AMBRAMFGS)	046	T	B	387,773	34.01	n/a	n/a	15510.92 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (Trade Date) :										54,272.70
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (RUN DATE) / NFS :										53,272.70

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