



## Daily Compliance Activity Report

Trade Date: 11/14/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	AAMRQ	S	750,000	11.96	n/a	n/a	15,000.00	0.0
LAKEWOOD CAPITAL MGMT	085	AHL	S	5,000	40.09	n/a	n/a	150.00	0.0
BROADARCH CAP/OLD NEWC	006	AXL	B	2,000	18.29	n/a	19-Jun	80.00	0.0
SIGMA CAPITAL ASSOCIATES	041	BIG	SS	45,000	37.27	n/a	n/a	1,350.00	0.0
FRED ALGER MGMT	300	CBS	S	14,950	60.49	n/a	n/a	538.20	0.0
FRED ALGER MGMT	300	CCI	S	8,000	75.48	n/a	n/a	288.00	0.0
TROUBH PART	070	CSCO	S	15,000	21.42	n/a	26-Feb	750.00	0.0
GALT INVESTMENT	041	DLIA	S	75,200	1.54	n/a	n/a	1,880.00	0.0
LAKEWOOD CAPITAL MGMT	085	DXCM	C	8,000	32.69	n/a	n/a	240.00	0.0
MAPLE LANE CAPITAL	040	GLW	B	100,000	16.86	n/a	n/a	5,000.00	0.0
CASTLE ARK	031	GNC	S	120,500	58.75	n/a	n/a	4,820.00	0.0
MOORE CAPITAL	257	GNC	B	20,000	58.68	n/a	n/a	600.00	0.0
MERRILL ASSET/BLACKROCK	085	GNW	B	6,700	14.43	n/a	n/a	268.00	0.0
CADIAN CAPITAL	041	GOOG	B	2,000	1,039.17	n/a	n/a	60.00	0.0
NEW VERNON/SF INVESTMENTS	031	GS	S	14,000	163.41	n/a	6-May	700.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	IWM	C	23,000	110.42	n/a	n/a	1,150.00	0.0
WHITE PINE CAPITAL	030	IWO	SS	27,500	129.52	n/a	n/a	1,375.00	0.0
LOMAS CAPITAL	040	JBLU	S	26,000	8.74	n/a	18-Jun	780.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	489,400	8.68	n/a	18-Jun	14,682.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	S	378,220	8.78	n/a	18-Jun	15,128.80 0.0
SIGMA CAPITAL ASSOCIATES	041	JWN	SS	25,000	63.02	n/a	18-Jun	750.00	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	54.37	n/a	18-Jun	750.00	0.0
SCOPUS FUND	041	LAD	B	10,000	64.16	n/a	n/a	400.00	0.0
CORVEX CAPITAL	041	LBTYA	S	46,000	80.17	n/a	n/a	1,380.00	0.0
FIRST NY SEC/CHRIS	041	LCC	B	10,000	23.61	n/a	18-Jun	500.00	0.0
FARALLON CAP MGMT	040	LTD	S	15,756	64.27	n/a	n/a	630.24	0.0
GALT INVESTMENT	041	LTM	S	10,000	47.97	n/a	n/a	500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	B	175,000	34.14	n/a	18-Jun	5,250.00	0.0
SOROS	036	MWV	S	75,000	34.03	n/a	18-Jun	3,000.00	0.0
TUDOR INVESTORS	028	MWV	B	10,000	34.13	n/a	18-Jun	300.00	0.0
ROSEDALE CAPITAL	046	NEM	B	10,000	27.60	n/a	n/a	400.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	7.89	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	PETM	C	14,000	73.31	n/a	n/a	420.00	0.0
SCOPUS FUND	041	PIR	S	40,000	22.04	n/a	n/a	1,600.00	0.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PLCE</b>	<b>SS</b>	<b>5,000</b>	<b>54.11</b>	<b>n/a</b>	<b>24-May</b>	<b>250.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	PLCE	B	20,530	54.38	n/a	24-May	821.20	0.0
CADIAN CAPITAL	041	PNRA	B	32,000	169.55	n/a	10-Jun	960.00	0.0
LOMAS CAPITAL	040	RCL	S	22,700	43.09	n/a	n/a	681.00	0.0
NEW VERNON/SF INVESTMENTS	031	SAVE	B	43,200	44.97	n/a	18-Jun	2,160.00	0.0
CADIAN CAPITAL	041	SBH	SS	10,000	27.14	n/a	n/a	300.00	0.0
OMEGA ADVISORS	041	SLM	S	150,000	25.91	n/a	14-Jun	6,000.00	0.0
SAC CHRIS C	041	SPNC	B	8,583	21.38	n/a	n/a	257.49	0.0
MERRILL ASSET/BLACKROCK	085	STT	S	313,605	70.64	n/a	17-Jun	12,544.20	0.0
TROUBH PART	070	TOL	S	10,000	33.60	n/a	n/a	500.00	0.0
1798 CAP/LOMBARD ASSET	040	TYC	B	28,000	37.45	n/a	26-Apr	1,400.00	0.0
NEW VERNON/SF INVESTMENTS	031	UAL	B	52,700	36.60	n/a	18-Jun	2,635.00	0.0
WHITE PINE CAPITAL	030	VBK	C	8,600	118.86	n/a	n/a	430.00	0.0
BARON ASSET MGMT*	006	VRSK	S	5,000	63.92	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	78.03	n/a	16-May	750.00	0.0
J. GOLDMAN	028	XLI	SS	63,000	49.86	n/a	n/a	2,520.00	0.0
<b>TOTAL (Trade Date):</b>								<b>113,929.13</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/05	BESSEMER INVESTMENT (BESS8F0403)	085	AET	S	1,300	63.02	n/a	n/a	52.00 0.0
AO,CRT	11/05	BESSEMER INVESTMENT (BESSMAIN)	085	AET	S	1,300	63.02	n/a	n/a	52.00 0.0
AO,CXL	11/13	CSL ASSOCIATES (CSLAGS)	006	EBAY	S	6,000	52.62	n/a	n/a	300.00 0.0
AO,	11/13	CSL ASSOCIATES (CSLAGS)	006	EBAY	S	6,000	52.62	n/a	n/a	240.00 0.0
AO,CXL	11/13	CAERUS GLOBAL (CAERUNION)	041	F	B	1,005	16.80	n/a	19-Jun	40.20 0.0
AO,CXL	11/13	CAERUS GLOBAL (CAERGSMMAIN)	041	F	B	32,920	16.80	n/a	19-Jun	1316.80 0.0
AO,	11/13	CAERUS GLOBAL (CAERGSMMAIN)	041	F	B	33,925	16.80	n/a	19-Jun	1316.80 0.0
AO,CXL	11/13	THREE G (THEGJPM)	041	GM	B	97,100	38.47	n/a	19-Jun	2913.00 0.0
AO,	11/13	WEXFORD CAPITAL (WEXFGSBULK)	284	GM	B	97,100	38.47	n/a	19-Jun	2913.00 0.0
AO,CXL	11/13	FARALLON CAP MGMT (FARACS)	040	LTD	S	24,244	64.28	n/a	n/a	727.32 0.0
AO,CRT	11/13	FARALLON CAP MGMT (FARACS)	040	LTD	S	24,244	64.28	n/a	n/a	969.76 4.0

**TOTAL (AO, CXL, CRT) :****142.24**

TOTAL (Trade Date) :

113,929.13

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142.24

**TOTAL (RUN DATE) / NFS:****114,071.37**

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