



Daily Compliance Activity Report

Trade Date: 01/24/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	BONT	B	30,000	11.27	n/a	18-Jun	1,200.00	0.0
HALCYON LLC	041	CAH	SS	100,000	65.93	n/a	n/a	3,000.00	0.0
JSRG CAPITAL PARTNERS LP	084	CCJ	B	10,000	21.95	n/a	n/a	300.00	0.0
LIONEYE CAPITAL	040	CHMT	B	20,000	25.09	n/a	18-Feb	1,000.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	CHS	SS	120,000	16.74		n/a 5-Feb	3,600.00	0.0
CSFB GLOBAL PROPRIETARY	041	CMI	B	10,000	127.12	n/a	n/a	500.00	0.0
CHARTERBRIDGE CAPITAL	025	COH	C	65,000	48.93	n/a	30-May	1,950.00	0.0
LATEEF MGMT	033	DAL	S	250	31.42	n/a	18-Jun	30.00	0.0
CLOVIS CAPITAL	033	DAR	S	25,000	20.23	n/a	n/a	1,250.00	0.0
SENATOR INVEST GROUP	287	DE	SS	150,000	86.43	n/a	11-Jul	4,500.00	0.0
WHITE PINE CAPITAL	030	DXLG	B	42,200	5.51	n/a	n/a	2,110.00	0.0
J. GOLDMAN	028	EAT	S	11,000	49.73	n/a	13-May	440.00	0.0
SCOPUS FUND	041	EAT	S	20,000	49.68	n/a	13-May	800.00	0.0
CORNERSTONE	030	EBAY	S	14,499	54.28	n/a	n/a	579.96	0.0
BALYASNY ASSET MGMT	044	FINL	B	30,000	25.51	n/a	19-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SMITH MGMT/ALDEN GLOBAL		029	FINL	SS	39,000	25.37	n/a	19-Jun	1,170.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	FL	SS	26,500	37.79	n/a	19-Jun	795.00	0.0
BALYASNY ASSET MGMT	044	FMC	SS	25,000	72.71	n/a	8-Dec	1,250.00	0.0	
CSFB GLOBAL PROPRIETARY	041	FOR	B	20,000	20.54	n/a	9-May	1,000.00	0.0	
BTIG/LIGHT STREET CAPITAL	044	FXI	SS	50,000	34.42	n/a	n/a	1,500.00	0.0	
SCOPUS FUND	041	F	B	124,917	15.92	n/a	19-Jun	4,996.68	0.0	
INTERVAL PARTNERS	033	GIII	B	4,800	68.50	n/a	n/a	144.00	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	SS	16,000	37.00	n/a	19-Jun	480.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL	040	GM	S	25,000	37.66	n/a	19-Jun	750.00	0.0	
PAR CAPITAL	309	HA	C	25,000	10.57	n/a	n/a	1,000.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	46.37	n/a	17-Jun	1,500.00	0.0	
LATEEF MGMT	033	JNJ	B	100	91.48	n/a	n/a	30.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	KSS	SS	40,000	50.36	n/a	18-Jun	1,200.00	0.0
KADE CAPITAL LLC	028	KSU	B	5,000	95.84	n/a	n/a	250.00	0.0	
WADDELL AND REED	047	KSU	S	475,806	101.83	n/a	n/a	19,032.24	0.0	
Ö Jack Chernus		LEA	S	1000	77.0600	n/a	19-Jun	0.00	0.0	
LOMAS CAPITAL	040	LPX	B	113,000	17.51	n/a	19-Jun	3,390.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTERBRIDGE CAPITAL	025	LULU	C	35,000	47.15	n/a	19-Jun	1,050.00	0.0
BALYASNY ASSET MGMT	044	MCD	C	30,000	95.40	n/a	17-Jun	1,500.00	0.0
HERRING CREEK CAPITAL	040	MS	B	61,751	30.44	n/a	6-Jun	1,852.53	0.0
TROVE CAPITAL MANAGEMENT	237	MWA	B	20,000	8.59	n/a	n/a	600.00	0.0
CRAMER ROSENTHAL	070	MWV	S	50,000	35.80	n/a	18-Jun	2,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	130,000	35.96	n/a	18-Jun	6,500.00	0.0
KLEINHEINZ CAP PART	031	NFLX	B	5,000	388.27	n/a	n/a	250.00	0.0
SCOGGIN LLC	041	NI	B	66,000	33.99	n/a	n/a	3,300.00	0.0
DC CAPITAL	044	NPO	B	36,800	73.07	n/a	n/a	1,472.00	0.0
WADDELL AND REED	047	PCP	B	116,048	259.78	n/a	11-Jun	4,641.92	0.0
JSRG CAPITAL PARTNERS LP	084	QTWW	B	10,000	8.16	n/a	n/a	300.00	0.0
J. GOLDMAN	028	SBUX	S	50,000	75.71	n/a	17-Jun	2,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SID	SS	300,000	4.90	n/a	n/a	9,000.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	SSI	SS	101,000	19.76		n/a 18-Jun	3,030.00	0.0
FINDLAY PARK PART	085	STT	B	78,000	69.67	n/a	17-Jun	8,151.88	0.0
ADAGE CAPITAL MGMT	030	SWY	B	100,000	31.07	n/a	n/a	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL	070	SWY	B	47,750	31.10	n/a	n/a	1,910.00	0.0
LATEEF MGMT	033	SWY	B	500	31.09	n/a	n/a	50.00	0.0
ARDSLEY PARTNERS/RIDGECREST	306	TEN	S	10,000	54.03		n/a	n/a	500.00 0.0
T. ROWE PRICE	243	TISI	S	12,456	44.96	n/a	n/a	498.24	0.0
LATEEF MGMT	033	TRV	B	100	82.30	n/a	n/a	30.00	0.0
LATEEF MGMT	033	UAL	S	175	46.59	n/a	18-Jun	31.50	0.0
LAKEWOOD CAPITAL MGMT	085	VEEV	SS	5,000	31.29	n/a	n/a	150.00	0.0
DAVIDSON KEMPNER ADVISOR	281	WAG	B	12,500	58.37	n/a	n/a	625.00	0.0
KLEINHEINZ CAP PART	031	ZTS	S	124,000	31.43	n/a	n/a	6,200.00	0.0
TOTAL (Trade Date) :							119,890.95		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	01/17	NWQ INVESTMENT MGMT CO (NWQI294155)	084	FOR	S	12,935	20.34	n/a 9-May	394.52 0.0
AO,CRT	01/17	NWQ INVESTMENT MGMT CO (NWQI294155)	084	FOR	S	12,935	20.34	n/a 9-May	452.73 0.0
TOTAL (AO, CXL, CRT) :									58.21

TOTAL (Trade Date):	119,890.95
TOTAL (AO, CXL, CRT):	58.21

TOTAL (RUN DATE) / NFS:	119,949.16
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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