

Daily Compliance Activity Report Trade Date: 09/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	n Comm.	¢/Shr.	-
	CR INTRINIC INVESTMENT	044	ANN	SS	4,000	36.33	n/a	n/a	120.00	0.0	
	IMPALA ASSET MMT	040	AXL	S	5,000	19.47	n/a	19-Jun	200.00	0.0	
	ROSEDALE CAPITAL	046	AXL	S	30,000	20.04	n/a	19-Jun	1,200.00	0.0	
	NUVEEN - US BANCORP		030	BA	В	57 , 799	117.18	n/a	11-Jun 2	,600.96 0.0	
	HOTCHKIS & WILEY	084	BA	S	162,304	117.08	n/a	11-Jun	6,492.16	0.0	
	LATEEF MGMT	033	BBT	В	500	34.99	n/a	n/a	50.00	0.0	
	CALA	041	BRKB	S	200,000	115.44	n/a	n/a	6,000.00	0.0	
	THOMAS WEISEL ASSET MGMT/	/TIMBERI	LINE ASSEC)33 BZI	н в	10	0,714 18.57		n/a n/a	3,021.42	
	IMPALA ASSET MMT	040	CNW	S	30,000	41.30	n/a	n/a	1,500.00	0.0	
	GLG PARTNERS	044	CPN	S	12,000	19.59	n/a	n/a	480.00	0.0	
	PATTEN & PATTEN	025	CREE	В	100	59.86	n/a	n/a	5.00	0.0	
	PATTEN & PATTEN	025	CSD	В	50	40.44	n/a	n/a	2.50	0.0	
	IMPALA ASSET MMT	040	CSX	S	16,100	25.87	n/a	n/a	644.00	0.0	
	LATEEF MGMT	033	DAL	S	750	23.25	n/a	18-Jun	75.00	0.0	
	PATTEN & PATTEN	025	DBD	В	300	29.85	n/a	16-Jul	15.00	0.0	

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
	LATEEF MGMT	033	DD	S	725	59.60	n/a	n/a	81.50	0.0
	IMPALA ASSET MMT	040	DLPH	S	15,000	56.96	n/a	n/a	750.00	0.0
	CALA	041	EOG	S	37,500	167.63	n/a	n/a	1,125.00	0.0
	IMPALA ASSET MMT	040	EXPD	S	5,000	44.50	n/a	n/a	250.00	0.0
	LATEEF MGMT	033	FCX	S	300	33.46	n/a	n/a	36.00	0.0
	IMPALA ASSET MMT	040	GBX	S	700	24.79	n/a	n/a	28.00	0.0
	DENVER INST. ADV	046	GPOR	В	84,750	62.91	n/a	n/a	3,390.00	0.0
	HOTCHKIS & WILEY	084	GXP	В	75,000	21.88	n/a	n/a	3,000.00	0.0
	PATTEN & PATTEN	025	HEDJ	В	250	53.41	n/a	n/a	12.50	0.0
	IMPALA ASSET MMT	040	HEI	В	6,000	65.78	n/a	n/a	300.00	0.0
	CR INTRINIC INVESTMENT	044	HIBB	В	3,000	53.03	n/a	n/a	90.00	0.0
	IMPALA ASSET MMT	040	HOG	S	15,000	64.31	n/a	n/a	750.00	0.0
	HOPLITE MGMT	025	HUN	В	157,323	19.85	n/a	n/a	6,292.92	0.0
	LATEEF MGMT	033	INTC	В	400	23.79	n/a	n/a	40.00	0.0
	IONIC CAPITAL MANAGEMENT	041	IP	В	42,200	48.19	n/a	17-Jun	1,266.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
NOMURA/ANGEL LANE PRINCIE	PAL040	IP	SS	10,000	48.73	n/a	17-Jun	300.00	0.0
IMPALA ASSET MMT	040	IYT	SS	2,200	117.86	n/a	n/a	110.00	0.0
TYVOR CAPITAL LLC	031	JCP	В	50,000	13.72	n/a	18-Jun	1,500.00	0.0
VISIUM/BALY BOBBY	044	LECO	С	5,000	67.77	n/a	n/a	250.00	0.0
CR INTRINIC INVESTMENT	044	LPX	В	25,000	17.65	n/a	19-Jun	750.00	0.0
BMO / M&I FUNDS	04	7 MLI	S	18,	748 55.86	r	n/a 19-Jun	749.	.92 0.0
MIDS	047	MLI	S	6	55.86	n/a	19-Jun	0.24	0.0
PATTEN & PATTEN	025	MWV	В	150	38.44	n/a	18-Jun	7.50	0.0
BMO / M&I FUNDS	04	7 M	S	14,	700 45.12	r	n/a 18-Jun	588.	.00 0.0
IMPALA ASSET MMT	040	PAG	В	11,400	42.13	n/a	19-Jun	570.00	0.0
S.A.C. CAPITAL	044	PIR	В	50,000	23.36	n/a	n/a	1,500.00	0.0
ASCEND PARTNERS	033	PVH	S	14,741	123.34	n/a	14-Jun	442.23	0.0
IONIC CAPITAL MANAGEMENT	041	RKT	В	8 , 700	117.83	n/a	17-Jun	261.00	0.0
PATTEN & PATTEN	025	RKT	S	200	120.98	n/a	17-Jun	10.00	0.0
IMPALA ASSET MMT	040	R	S	10,000	60.12	n/a	n/a	500.00	0.0
CALA	041	SBUX	S	65,000	75.82	n/a	17-Jun	1,950.00	0.0
GALT INVESTMENT	041	SCSS	S	30,000	24.01	n/a	n/a	1,500.00	0.0

Account	count RR # Symbol		B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
DPB CAPITAL	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	0.0
CALA	041	SLB	S	150,000	88.02	n/a	n/a	4,500.00	0.0
VISIUM/BALY BOBBY	044	SPW	С	10,000	82.73	n/a	n/a	500.00	0.0
IONIC CAPITAL MANAGEMENT	041	SPY	В	9,500	171.01	n/a	n/a	285.00	0.0
CR INTRINIC INVESTMENT	044	SVU	S	2,900	7.75	n/a	n/a	87.00	0.0
IMPALA ASSET MMT	040	SWFT	S	20,000	19.62	n/a	n/a	800.00	0.0
LATEEF MGMT	033	SWY	S	300	30.49	n/a	n/a	33.00	0.0
MATRIX ASSET ADV.	091	TEL	S	800	53.76	n/a	n/a	32.00	0.0
IMPALA ASSET MMT	040	TEX	S	15,000	32.92	n/a	n/a	600.00	0.0
CR INTRINIC INVESTMENT	044	TFM	SS	2,000	49.50	n/a	n/a	60.00	0.0
CALA	041	TMO	S	45,000	92.04	n/a	n/a	1,350.00	0.0
PAR CAPITAL	029	TRIP	S	12,308	73.08	n/a	n/a	492.32	0.0
IMPALA ASSET MMT	040	TRW	В	7,000	71.41	n/a	n/a	350.00	0.0
WADDELL AND REED	047	TXN	В	397,310	40.68	n/a	n/a	15,892.40	0.0
LATEEF MGMT	033	T	В	200	34.79	n/a	n/a	30.00	0.0
	DPB CAPITAL CALA VISIUM/BALY BOBBY IONIC CAPITAL MANAGEMENT CR INTRINIC INVESTMENT IMPALA ASSET MMT LATEEF MGMT MATRIX ASSET ADV. IMPALA ASSET MMT CR INTRINIC INVESTMENT CALA PAR CAPITAL IMPALA ASSET MMT WADDELL AND REED	DPB CAPITAL 029 CALA 041 VISIUM/BALY BOBBY 044 IONIC CAPITAL MANAGEMENT 041 CR INTRINIC INVESTMENT 040 LATEEF MGMT 033 MATRIX ASSET ADV. 091 IMPALA ASSET MMT 040 CR INTRINIC INVESTMENT 044 CALA 041 PAR CAPITAL 029 IMPALA ASSET MMT 040 WADDELL AND REED 047	DPB CAPITAL CALA O41 SLB VISIUM/BALY BOBBY IONIC CAPITAL MANAGEMENT CR INTRINIC INVESTMENT LATEEF MGMT MATRIX ASSET ADV. IMPALA ASSET MMT O40 SWFT LATEEF MGMT O40 TEL IMPALA ASSET MMT O40 TEX CR INTRINIC INVESTMENT O40 TEX CR INTRINIC INVESTMENT O40 TEX CR INTRINIC INVESTMENT O41 TMO PAR CAPITAL IMPALA ASSET MMT O40 TRW WADDELL AND REED O47 TXN	DPB CAPITAL CALA O41 SLB S VISIUM/BALY BOBBY O44 SPW C IONIC CAPITAL MANAGEMENT O41 SPY B CR INTRINIC INVESTMENT O44 SVU S IMPALA ASSET MMT O40 SWFT S LATEEF MGMT O33 SWY S MATRIX ASSET ADV. O91 TEL S CR INTRINIC INVESTMENT O40 TEX S CR INTRINIC INVESTMENT O40 TEX S CALA O41 TMO S PAR CAPITAL O29 TRIP S IMPALA ASSET MMT O40 TRW B WADDELL AND REED O47 TXN B	DPB CAPITAL 029 SIRI S 5,000 CALA 041 SLB S 150,000 VISIUM/BALY BOBBY 044 SPW C 10,000 IONIC CAPITAL MANAGEMENT 041 SPY B 9,500 CR INTRINIC INVESTMENT 044 SVU S 2,900 IMPALA ASSET MMT 040 SWFT S 20,000 LATEEF MGMT 033 SWY S 300 MATRIX ASSET ADV. 091 TEL S 800 IMPALA ASSET MMT 040 TEX S 15,000 CR INTRINIC INVESTMENT 044 TFM SS 2,000 CALA 041 TMO S 45,000 PAR CAPITAL 029 TRIP S 12,308 IMPALA ASSET MMT 040 TRW B 7,000 WADDELL AND REED 047 TXN B 397,310	DPB CAPITAL 029 SIRI S 5,000 3.83 CALA 041 SLB S 150,000 88.02 VISIUM/BALY BOBBY 044 SPW C 10,000 82.73 IONIC CAPITAL MANAGEMENT 041 SPY B 9,500 171.01 CR INTRINIC INVESTMENT 044 SVU S 2,900 7.75 IMPALA ASSET MMT 040 SWFT S 20,000 19.62 LATEEF MGMT 033 SWY S 300 30.49 MATRIX ASSET ADV. 091 TEL S 800 53.76 IMPALA ASSET MMT 040 TEX S 15,000 32.92 CR INTRINIC INVESTMENT 044 TFM SS 2,000 49.50 CALA 041 TMO S 45,000 92.04 PAR CAPITAL 029 TRIP S 12,308 73.08 IMPALA ASSET MMT 040 TRW B 7,000 71.41 WADDELL AND REED 047 TXN B 397,310 40.68	DPB CAPITAL 029 SIRI S 5,000 3.83 n/a CALA 041 SLB S 150,000 88.02 n/a VISIUM/BALY BOBBY 044 SPW C 10,000 82.73 n/a IONIC CAPITAL MANAGEMENT 041 SPY B 9,500 171.01 n/a CR INTRINIC INVESTMENT 044 SVU S 2,900 7.75 n/a IMPALA ASSET MMT 040 SWFT S 20,000 19.62 n/a LATEEF MGMT 033 SWY S 300 30.49 n/a MATRIX ASSET ADV. 091 TEL S 800 53.76 n/a IMPALA ASSET MMT 040 TEX S 15,000 32.92 n/a CR INTRINIC INVESTMENT 044 TFM SS 2,000 49.50 n/a CALA 041 TMO S 45,000 92.04 n/a PAR CAPITAL 029 TRIP S 12,308 73.08 n/a IMPALA ASSET MMT 040 TRW B 7,000 71.41 n/a WADDELL AND REED 047 TXN B 397,310 40.68 n/a	DPB CAPITAL 029 SIRI S 5,000 3.83 n/a n/a CALA 041 SLB S 150,000 88.02 n/a n/a VISIUM/BALY BOBBY 044 SPW C 10,000 82.73 n/a n/a IONIC CAPITAL MANAGEMENT 041 SPY B 9,500 171.01 n/a n/a CR INTRINIC INVESTMENT 044 SVU S 2,900 7.75 n/a n/a IMPALA ASSET MMT 040 SWFT S 20,000 19.62 n/a n/a LATEEF MGMT 033 SWY S 300 30.49 n/a n/a IMPALA ASSET ADV. 091 TEL S 800 53.76 n/a n/a IMPALA ASSET MMT 040 TEX S 15,000 32.92 n/a n/a CR INTRINIC INVESTMENT 044 TFM SS 2,000 49.50 n/a n/a CALA 041 TMO S 45,000 92.04 n/a n/a PAR CAPITAL 029 TRIP S 12,308 73.08 n/a n/a IMPALA ASSET MMT 040 TRW B 7,000 71.41 n/a n/a WADDELL AND REED 047 TXN B 397,310 40.68 n/a n/a	DPB CAPITAL

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CALA	041	UNH	S	85 , 000	74.17	n/a	n/a	2,550.00	0.0
IMPALA ASSET MMT	040	UNP	S	16,000	155.91	n/a	n/a	800.00	0.0
CALA	041	UPS	S	82,500	89.98	n/a	n/a	2,475.00	0.0
CADIAN CAPITAL	041	URBN	S	39,110	38.43	n/a	n/a	1,173.30	0.0
HERRING CREEK CAPITAL MGM	T LLC040	WGO	S	34,	712 22.02	n	/a n/a	1,041.	36 0.0
INTERVAL PARTNERS	033	WGO		,	22.00	n/a		450.00	
IMPALA ASSET MMT	040	WHR	В	25,000	143.27	n/a	n/a	1,250.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WTW	В	5,000	37.41	n/a	n/a	150.00	0.0
IMPALA ASSET MMT	040	WY	В	50,000	28.58	n/a	19-Jun	2,000.00	0.0
CALA	041	MOX	S	375 , 820	89.15	n/a	n/a	11,274.60	0.0

TOTAL (Trade Date): 99,232.83

Cancel/Corrects and As-Of Trades

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	09/16	TUDOR INVESTORS (TU	TIND TOMOR)	028	AWI	S	10,000	53.30	n/a	n/a	3.00	0.0
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AO, CRT	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	AWI	S	10,000	53.30	n/a	n/a	300.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	EMR	В	5,000	64.96	n/a	n/a	1.50	0.0
AO, CRT	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	EMR	В	5,000	64.96	n/a	n/a	150.00	3.0
70 CVI	09/16	TUDOR INVESTORS (TU	TIDD TOMOD \	028	GM	В	10,000	36.23	- /-	19-Jun	3.00	0.0
AO, CXL		•	•		_		,					
AO, CRT	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	GM	В	10,000	36.23	n/a	19-Jun	300.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	IR	S	10,000	64.28	n/a	19-Jun	3.00	0.0
AO,CRT	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	IR	S	10,000	64.28	n/a	19-Jun	300.00	3.0
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AO,CXL	09/16	TUDOR INVESTORS (TO	·	028	LOW	SS	5,000	46.83	n/a	n/a	1.50	0.0
AO, CRT	09/16	TUDOR INVESTORS (TO	UDRJPMPB)	028	LOW	SS	5,000	46.83	n/a	n/a	150.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	LPX	SS	5,000	17.57	n/a	19-Jun	1.50	0.0
AO,CRT	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	LPX	SS	5,000	17.57	n/a	19-Jun	150.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	TIDR, TPMPB)	028	MAS	S	15,000	21.50	n/a	n/a	4.50	0.0
•		TUDOR INVESTORS (TO	·	028	MAS	S	15,000	21.50	n/a	n/a	450.00	3.0
AO, CRI	03/10	TODON INVESTORS (10	ODKOFMED)	020	MAS	S	13,000	21.50	11/а	11/ a	430.00	3.0
AO,CXL	09/16	KORT (KORTMS)		025	SEE	В	20,000	30.50	n/a	2-Jun	600.00	0.0
AO,CRT	09/16	KORT (KORTGS)		025	SEE	В	20,000	30.50	n/a	2-Jun	600.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	TIDD TDMDD \	028	TKR	В	5,000	63.04	n/a	n/a	1.50	0.0
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AO, CRT	09/16	TUDOR INVESTORS (TU	ODKOŁWŁR)	028	TKR	В	5,000	63.04	n/a	n/a	150.00	3.0
AO,CXL	09/16	TUDOR INVESTORS (TU	UDRJPMPB)	028	WNC	SS	10,000	11.51	n/a	n/a	3.00	0.0

Type AO, CRT	Date 09/16	Account TUDOR INVESTORS	(TUDRJPMPB)	RR # 028	Symbol WNC	B/S SS	Shares 10,000	Price 11.51	MRI Re	e search n/a	Comm .	¢/Shr .
TOTAL	(AO, 0	CXL, CRT):								2,	227.50	
TOTAL	(Trade	e Date):								99,	232.83	
TOTAL	(AO,	CXL, CRT):								2,	227.50	
TOTAL	(RUN I	DATE) / NFS:								101,	460.33	

Legend:

O: 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