



## Daily Compliance Activity Report

Trade Date: 09/27/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	15,000	33.21	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	APA	S	125	86.77	n/a	13-Jun	6.25	0.0
CORTEX CAPITAL	031	APC	S	10,000	93.95	n/a	13-Jun	300.00	0.0
J. GOLDMAN	028	AVY	B	21,000	43.55	n/a	n/a	840.00	0.0
MACELLUM CAPITAL	086	CONN	B	12,550	50.96	n/a	n/a	376.50	0.0
MACELLUM CAPITAL	086	DECK	B	8,000	65.24	n/a	n/a	240.00	0.0
FRED ALGER MGMT	300	DG	S	43,915	56.59	n/a	4-Jun	1,580.94	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			DORM	S	28,554	49.77	n/a	n/a	856.62 0.0
CAPITAL WORLD	084	EBAY	B	180,000	55.87	n/a	n/a	6,300.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		ELN	S	50,000	15.60		n/a n/a	1,500.00	0.0
BESSEMER INVESTMENT	085	EMC	B	201,200	26.10	n/a	26-Feb	6,036.00	0.0
CAMBIAR CAP	046	FINL	S	101,850	24.16	n/a	19-Jun	4,074.00	0.0
PECONIC PARTNERS	036	F	SS	500,000	17.10	n/a	19-Jun	25,000.00	0.0
BESSEMER INVESTMENT	085	GE	B	218,300	24.04	n/a	n/a	6,549.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	GM	B	30,000	36.47	n/a	19-Jun	1,200.00	0.0
1798 CAP/LOMBARD ASSET	040	GT	S	50,000	22.50	n/a	n/a	2,500.00	0.0
CORTEX CAPITAL	031	GWR	SS	12,000	93.48	n/a	n/a	360.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			HLS	S	39,427	34.46	n/a	n/a	1,182.81 0.0
PRIMECAP MGMT	084	HTZ	B	2,000	21.42	n/a	n/a	80.00	0.0
FOCUSED INVESTORS	084	IBM	B	52,300	186.73	n/a	n/a	2,092.00	0.0
DC CAPITAL	044	JCP	B	50,000	8.97	n/a	18-Jun	1,500.00	0.0
LAGRANGE CAP ADV	087	JCP	B	150,000	9.50	n/a	18-Jun	3,000.00	0.0
SCOPUS FUND	041	JCP	B	100,000	9.53	n/a	18-Jun	4,000.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	JCP	B	454,500	9.78	n/a	18-Jun	13,635.00 0.0
LISTED ERR	099	JCP	B	374,700	9.75	n/a	18-Jun	0.00	0.0
LISTED ERR	099	JCP	S	374,700	9.57	n/a	18-Jun	0.00	0.0
CAPITAL RESEARCH GROUP		296	KMB	S	100,000	94.71	n/a	17-Jun	3,500.00 0.0
MACELLUM CAPITAL	086	KSS	SS	40,000	52.03	n/a	18-Jun	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	35,000	17.34	n/a	19-Jun	1,750.00	0.0
PROSPECTOR PARTNERS LLC	036	MET	B	18,100	47.35	n/a	n/a	724.00	0.0
PROSPECTOR PARTNERS LLC	036	MNST	B	6,000	53.12	n/a	n/a	240.00	0.0
SLS CAPITAL LLC	006	MSFT	B	53,424	33.36	n/a	n/a	2,671.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PROSPECTOR PARTNERS LLC	036	MUSA	S	3,300	41.09	n/a	n/a	132.00	0.0	
PRIMECAP MGMT	084	NKTR	B	15,000	10.90	n/a	n/a	600.00	0.0	
PROSPECTOR PARTNERS LLC	036	NOC	B	5,000	95.84	n/a	11-Jun	200.00	0.0	
PENNANT CAP MGMT	250	OXY	S	30,000	94.30	n/a	n/a	600.00	0.0	
CSFB GLOBAL PROPRIETARY	041	PCL	B	20,000	47.10	n/a	19-Jun	1,000.00	0.0	
SCOPUS FUND	041	PCL	B	25,000	47.14	n/a	19-Jun	1,000.00	0.0	
TYVOR CAPITAL LLC	031	RAD	S	50,000	4.71	n/a	n/a	500.00	0.0	
PRIMECAP MGMT	084	RIG	B	15,000	44.92	n/a	n/a	600.00	0.0	
DAVIDSON KEMPNER ADVISOR	281	RL	B	13,595	165.01	n/a	24-May	679.75	0.0	
PIMCO	084	SAVE	S	90,000	34.26	n/a	18-Jun	1,800.00	0.0	
PATTEN & PATTEN	025	SIRO	B	600	67.02	n/a	n/a	30.00	0.0	
INTERVAL PARTNERS	033	TGT	SS	5,000	64.26	n/a	23-May	150.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	TLM	B	50,000	11.49		n/a	n/a	1,500.00	0.0
SYMPHONY ASSET	033	URBN	B	27,580	37.17	n/a	n/a	827.40	0.0	
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	17,600	11.55	n/a	n/a	528.00	0.0	
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	28.79	n/a	19-Jun	500.00	0.0	

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TOTAL (Trade Date):

104,541.47

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/26	OSTERWEIS CAPITAL (OSTETOF)	084	VIAB	S	18,320	83.50	n/a	n/a	916.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-916.00</b>

TOTAL (Trade Date):	104,541.47
TOTAL (AO, CXL, CRT):	-916.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>103,625.47</b>
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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