



Daily Compliance Activity Report

Trade Date: 11/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHRIS C	041	ABT	B	30,000	38.24	n/a	n/a	900.00	0.0
SAC CHRIS C	041	ARAY	B	50,000	7.86	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	BA	S	100	134.87	n/a	11-Jun	30.00	0.0
LISTED ERR	099	BA	B	250	134.55	n/a	11-Jun	0.00	0.0
LISTED ERR	099	BA	S	250	134.87	n/a	11-Jun	0.00	0.0
SAC CHRIS C	041	BSX	B	50,000	11.70	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	CVS	S	500	67.05	n/a	n/a	55.00	0.0
LATEEF MGMT	033	DAL	S	250	28.92	n/a	18-Jun	30.00	0.0
LATEEF MGMT	033	DVN	B	500	60.83	n/a	13-Jun	55.00	0.0
LATEEF MGMT	033	ENR	S	300	110.97	n/a	17-Jun	45.00	0.0
CORTEX CAPITAL	031	GM	B	20,000	39.08	n/a	19-Jun	600.00	0.0
DELTEC ASSET MGMT.	040	GM	B	15,000	39.04	n/a	19-Jun	750.00	0.0
MATRIX ASSET ADV.	091	HOLX	B	2,000	22.31	n/a	n/a	80.00	0.0
SAC CHRIS C	041	HOLX	SS	50,000	22.45	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	INTC	S	400	23.78	n/a	n/a	40.00	0.0
LATEEF MGMT	033	OI	S	250	33.20	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHRIS C	041	OREX	S	14,268	6.97	n/a	n/a	428.04	0.0
LATEEF MGMT	033	PG	S	100	84.60	n/a	17-Jun	30.00	0.0
ZWEIG FUNDS	006	P	S	25,000	28.45	n/a	n/a	1,250.00	0.0
IMPALA ASSET MMT	040	SPY	S	11,011	181.51	n/a	n/a	550.55	0.0
SAC CHRIS C	041	VOLC	B	40,000	22.75	n/a	n/a	1,200.00	0.0
TOTAL (Trade Date):								10,573.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/27	TIDE POINT CAPITAL (TIDEGS)	028	GPI	S	10,000	67.80	n/a	19-Jun	500.00 0.0
AO,	11/27	TIDE POINT CAPITAL (TIDEGS)	028	GPI	S	10,000	67.80	n/a	19-Jun	300.00 0.0
AO,CXL	11/27	HAWK RIDGE (HAWRJPM)	025	HMHC	B	20,000	17.02	n/a	n/a	1000.00 0.0
AO,CRT	11/27	HAWK RIDGE (HAWRJPM)	025	HMHC	B	20,000	17.02	n/a	n/a	600.00 3.0
AO,CXL	11/27	BTIG/MONT PELERIN (MONTGS)	084	SNCR	S	8,488	32.03	n/a	n/a	339.52 0.0
AO,	11/27	BTIG/MONT PELERIN (MONTGS)	084	SNCR	S	8,488	32.03	n/a	n/a	339.52 0.0
TOTAL (AO, CXL, CRT) :										-600.00
TOTAL (Trade Date) :										10,573.59
TOTAL (AO, CXL, CRT) :										-600.00
TOTAL (RUN DATE) / NFS :										9,973.59

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