



Daily Compliance Activity Report

Trade Date: 01/07/2014

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERELLA WEINBERG	085	AET	S	20,600	68.32	n/a	n/a	1,030.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	AGO	B	11,000	23.10	n/a	n/a	330.00	0.0
SCOPUS FUND	041	ALV	SS	25,000	90.63	n/a	19-Jun	1,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BEN	B	3,000	57.33	n/a	2-Mar	90.00	0.0
SCOPUS FUND	041	BONT	S	5,000	16.79	n/a	18-Jun	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BPOP	B	6,500	27.90	n/a	n/a	195.00	0.0
SCOPUS FUND	041	CE	B	22,860	54.73	n/a	20-May	914.40	0.0
DELTEC ASSET MGMT.	040	DAL	B	30,000	28.73	n/a	18-Jun	1,500.00	0.0
ZWEIG FUNDS	006	DAL	B	25,000	29.37	n/a	18-Jun	1,250.00	0.0
BRONSON POINT	036	DHR	B	50,000	76.33	n/a	n/a	1,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	DISH	B	8,800	56.82	n/a	n/a	264.00	0.0
ARDSLEY PARTNERS	280	DLPH	B	10,000	60.23	n/a	n/a	500.00	0.0
S.A.C. CAPITAL	044	DLTR	S	20,000	56.66	n/a	4-Jun	600.00	0.0
PARKWEST	084	DNKN	B	34,300	46.57	n/a	n/a	1,372.00	0.0
CORTEX CAPITAL	031	DRI	B	20,000	52.58	n/a	17-Jun	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVEST GROUP	287	ESRX	SS	125,000	69.74	n/a	n/a	3,750.00	0.0
CAPITAL RESEARCH GROUP	296	FE	S	40,000	32.00		n/a	n/a	1,400.00 0.0
FIFTH THIRD BANK/FREEMAN	047	F	S	25,454	15.50	n/a	19-Jun	1,018.16	0.0
TUDOR INVESTORS	028	F	B	10,000	15.68	n/a	19-Jun	300.00	0.0
HERRING CREEK CAPITAL	040	GBX	C	17,980	32.01	n/a	n/a	539.40	0.0
J. GOLDMAN	028	GBX	S	6,500	32.09	n/a	n/a	260.00	0.0
TUDOR INVESTORS	028	GWR	S	4,000	94.41	n/a	n/a	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	HCN	B	3,900	54.35	n/a	n/a	117.00	0.0
MAPLE ROW	006	JBLU	B	20,000	8.66	n/a	18-Jun	600.00	0.0
PERELLA WEINBERG	085	JBLU	SS	24,200	8.61	n/a	18-Jun	847.00	0.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	B	318,125	8.68	n/a	18-Jun	9,543.75	0.0
HAWK RIDGE	025	JBL	B	30,000	17.03	n/a	n/a	900.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JGW	B	500	17.30	n/a	n/a	15.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JKHY	SS	3,000	59.20	n/a	n/a	90.00	0.0
TUDOR INVESTORS	028	JWN	S	5,000	61.80	n/a	18-Jun	150.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KIE	SS	4,000	61.91	n/a	n/a	120.00	0.0
WALL STREET CAPITAL	084	KORS	S	4,968	79.35	n/a	30-May	223.56	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	KRE	SS	12,500	40.13	n/a	n/a	375.00	0.0
T. ROWE PRICE	243	KS	B	32,465	54.07	n/a	n/a	1,298.60	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LM	SS	4,000	44.08	n/a	2-Mar	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LPX	SS	100,000	17.98	n/a	19-Jun	3,000.00	0.0
INTERVAL PARTNERS	033	MGM	SS	15,000	24.55	n/a	13-Jun	450.00	0.0
FIRST NY SEC/CHRIS	041	M	B	10,000	52.23	n/a	18-Jun	500.00	0.0
GAMCO ASSET MNGMT	025	M	B	8,580	51.96	n/a	18-Jun	257.40	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	NCR	B	8,200	34.46	n/a	n/a	246.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	NCT	B	36,000	5.84	n/a	n/a	1,080.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	NNI	B	3,500	40.50	n/a	n/a	105.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PACW	S	6,000	42.94	n/a	n/a	180.00	0.0
ARDSLEY PARTNERS	280	PHG	B	25,000	37.15	n/a	n/a	1,250.00	0.0
COLUMBUS CIRCLE	036	RATE	S	3,160	16.63	n/a	n/a	126.40	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RDN	B	14,500	13.81	n/a	n/a	435.00	0.0
CAPITAL WORLD	084	RIG	S	185,405	48.98	n/a	n/a	6,489.18	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBRA	S	7,800	26.32	n/a	n/a	234.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	SLM	B	8,300	26.00	n/a	14-Jun	249.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SLRC	B	9,200	22.57	n/a	n/a	276.00	0.0
PERELLA WEINBERG	085	SWFT	S	10,000	20.91	n/a	n/a	500.00	0.0
ARDSLEY PARTNERS	280	TEN	B	10,000	55.78	n/a	n/a	500.00	0.0
TROUBH PART	070	TEVA	B	25,000	40.93	n/a	17-Jun	1,250.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TICC	SS	20,000	10.30	n/a	n/a	600.00	0.0
ROYCE TRADING	031	TRN	S	3,500	54.81	n/a	n/a	175.00	0.0
LOMAS CAPITAL	040	UAL	B	38,150	39.55	n/a	18-Jun	1,144.50	0.0
PATRIOT STRATEGY PARTNERS	036	UAL	B	25,000	39.60	n/a	18-Jun	1,250.00	0.0
SENATOR INVEST GROUP	287	UAL	B	50,000	39.10	n/a	18-Jun	1,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	UMPQ	SS	9,400	19.07	n/a	n/a	282.00	0.0
TUDOR INVESTORS	028	VAL	S	5,000	72.00	n/a	n/a	150.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	VNTV	SS	12,500	32.38	n/a	11-Jun	375.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WBS	SS	6,000	30.36	n/a	n/a	180.00	0.0
ROYCE TRADING	031	WD	B	5,000	16.00	n/a	n/a	250.00	0.0
DAVIDSON KEMPNER ADVISOR	281	WTW	SS	75,000	32.38	n/a	n/a	3,750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	WY	B	6,400	30.58	n/a	19-Jun	256.00	0.0
COUGAR TRADING	044	WY	B	15,000	30.70	n/a	19-Jun	750.00	0.0
COUGAR TRADING	044	WY	S	15,000	31.18	n/a	19-Jun	750.00	0.0
ROSEDALE CAPITAL	046	WY	B	10,000	30.57	n/a	19-Jun	400.00	0.0
KENBELLE LLC	028	XHB	SS	61,600	32.56	n/a	n/a	1,848.00	0.0
ROYCE TRADING	031	XPO	S	1,000	29.51	n/a	n/a	50.00	0.0
HALCYON LLC	041	XRX	B	100,000	12.20	n/a	n/a	3,000.00	0.0
TUDOR INVESTORS	028	X	SS	5,000	29.43	n/a	n/a	150.00	0.0
TOTAL (Trade Date):								67,121.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/06	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	34,415	12.68	n/a	n/a	1032.45 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	34,415	12.60	n/a	n/a	1032.45 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFUSBK)	046	WNC	B	11,350	12.92	n/a	n/a	340.50 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFUSBK)	046	WNC	B	11,350	12.68	n/a	n/a	340.50 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFUSBK)	046	WNC	B	11,350	12.60	n/a	n/a	340.50 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFRBC)	046	WNC	B	4,235	12.92	n/a	n/a	127.05 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFRBC)	046	WNC	B	4,235	12.68	n/a	n/a	127.05 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFRBC)	046	WNC	B	4,235	12.60	n/a	n/a	127.05 0.0
AO,CXL	01/06	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	150,000	12.73	n/a	n/a	4500.00 0.0
AO,	01/06	FRONTFOUR CAPITAL (FROFGS)	046	WNC	B	34,415	12.92	n/a	n/a	1032.45 0.0

TOTAL (AO, CXL, CRT) :**0.00**

TOTAL (Trade Date) :

67,121.35

TOTAL (AO, CXL, CRT) :

0.00

TOTAL (RUN DATE) / NFS :**67,121.35**

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