



## Daily Compliance Activity Report

Trade Date: 12/11/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	AAL	SS	5,000	26.14	n/a	n/a	200.00	0.0
RIDGECREST INV MGMT LLC	028	AAL	S	5,000	26.46	n/a	n/a	200.00	0.0
SAC CAPITAL/M GRONET	030	ANN	B	50,000	35.99	n/a	n/a	1,500.00	0.0
BTIG/LIGHT STREET CAPITAL	044	ARUN	SS	20,000	16.52	n/a	n/a	600.00	0.0
BRONSON POINT	036	ATI	B	10,000	31.86	n/a	11-Jun	300.00	0.0
BTIG/LIGHT STREET CAPITAL	044	BBRY	B	63,120	6.06	n/a	n/a	1,893.60	0.0
SUFFOLK CAPITAL MGMT	040	CAH	B	300	67.24	n/a	n/a	12.00	0.0
HOTCHKIS & WILEY	084	CAR	S	63,200	36.93	n/a	n/a	2,528.00	0.0
TIDE POINT CAPITAL	028	CAR	B	10,000	36.86	n/a	n/a	300.00	0.0
BALYASNY ASSET MGMT	044	CHRW	SS	25,000	57.35	n/a	n/a	1,250.00	0.0
CORTEX CAPITAL	031	CHRW	SS	6,000	57.52	n/a	n/a	180.00	0.0
ACK ASSET	028	CNW	SS	20,000	40.08	n/a	n/a	600.00	0.0
TIDE POINT CAPITAL	028	CNW	B	20,000	40.74	n/a	n/a	600.00	0.0
SUFFOLK CAPITAL MGMT	040	CSCO	S	76,700	20.90	n/a	26-Feb	3,068.00	0.0
SUFFOLK CAPITAL MGMT	040	CVS	B	300	68.38	n/a	n/a	12.00	0.0
FRIESS MGMT	033	DISCA	S	35,410	85.90	n/a	n/a	1,416.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	DISCA	B	300	85.94	n/a	n/a	12.00	0.0
SAC CAPITAL/M GRONET	030	DLTR	B	35,000	56.01	n/a	4-Jun	1,050.00	0.0
SAC CAPITAL/M GRONET	030	DRI	SS	45,000	51.28	n/a	17-Jun	1,350.00	0.0
WHITE PINE CAPITAL	030	DXLG	B	37,200	6.24	n/a	n/a	1,860.00	0.0
SUFFOLK CAPITAL MGMT	040	EBAY	B	400	51.86	n/a	n/a	16.00	0.0
HERRING CREEK CAPITAL	040	EVR	SS	7,920	55.15	n/a	n/a	237.60	0.0
SAC CAPITAL/M GRONET	030	FL	B	25,000	38.95	n/a	19-Jun	750.00	0.0
SUFFOLK CAPITAL MGMT	040	FOX	S	1,100	32.04	n/a	n/a	44.00	0.0
BTIG/LIGHT STREET CAPITAL	044	FXI	SS	50,000	38.59	n/a	n/a	1,500.00	0.0
MAPLE LANE CAPITAL	040	FXI	B	55,000	38.62	n/a	n/a	2,200.00	0.0
OZ MGMT	040	F	C	121,763	16.53	n/a	19-Jun	3,652.89	0.0
<b>SPARTAN</b>	<b>093</b>	<b>F</b>	<b>SS</b>	<b>40,000</b>	<b>16.42</b>	<b>n/a</b>	<b>19-Jun</b>	<b>1,200.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	GRA	S	5,000	94.03	n/a	n/a	250.00	0.0
MFP INVESTORS	085	HES	B	50,000	79.59	n/a	n/a	2,500.00	0.0
FIRST NY SEC/CHRIS	041	JBLU	B	18,000	8.46	n/a	18-Jun	900.00	0.0
LOMAS CAPITAL	040	JBLU	S	367,000	8.38	n/a	18-Jun	7,340.00	0.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	B	138,800	8.40	n/a	18-Jun	4,164.00	0.0
DISI	030	LB	S	3,700	61.30	n/a	n/a	185.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUST WOOD CAPITAL MGMT	044	LMCA	S	8,787	147.40	n/a	n/a	351.48	0.0
BTG PACTUAL	040	MCD	SS	10,600	95.51	n/a	17-Jun	318.00	0.0
SAC CHRIS C	041	MR	B	15,000	39.95	n/a	n/a	450.00	0.0
FRED ALGER MGMT	300	MSCC	S	40,400	23.34	n/a	n/a	1,454.40	0.0
YORK CAPITAL	036	MYL	B	70,000	41.66	n/a	17-Jun	2,100.00	0.0
YORK CAPITAL	036	NCQ	S	32,012	1.50	n/a	n/a	320.12	0.0
TOCQUEVILLE	046	NCS	S	20,000	17.15	n/a	n/a	1,000.00	0.0
KLEINHEINZ CAP PART	031	NFX	B	100,000	24.56	n/a	n/a	5,000.00	0.0
BLUE MOUNTAIN CAPITAL	087	NRF	S	100,000	11.86	n/a	n/a	5,000.00	0.0
CRAMER ROSENTHAL	070	PENN	B	5,000	14.25	n/a	n/a	200.00	0.0
SUFFOLK CAPITAL MGMT	040	PEP	B	630	82.53	n/a	n/a	25.20	0.0
SUFFOLK CAPITAL MGMT	040	PFE	S	46,180	31.19	n/a	n/a	1,847.20	0.0
SUFFOLK CAPITAL MGMT	040	PM	B	600	85.94	n/a	n/a	24.00	0.0
BALYASNY ASSET MGMT	044	PWR	B	25,000	29.00	n/a	n/a	1,250.00	0.0
DISI	030	RCL	S	2,700	43.54	n/a	n/a	135.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
NUVEEN - US BANCORP		030	SIRI	S	221,400	3.55	n/a	n/a	6,642.00	0.0
MACELLUM CAPITAL	086	SIX	S	33,419	36.04	n/a	n/a	1,002.57	0.0	
RIDGECREST INV MGMT LLC	028	TAN	SS	10,000	34.40	n/a	n/a	400.00	0.0	
BTIG/LIGHT STREET CAPITAL	044	TDC	SS	25,000	40.53	n/a	n/a	750.00	0.0	
INTERVAL PARTNERS	033	TGT	B	10,000	63.35	n/a	23-May	300.00	0.0	
DISI	030	TJX	S	7,100	61.59	n/a	18-Jun	355.00	0.0	
ARDSLEY PARTNERS	280	TSL	C	150,000	11.90	n/a	n/a	7,500.00	0.0	
SUFFOLK CAPITAL MGMT	040	VRX	S	1,190	107.52	n/a	n/a	47.60	0.0	
SUFFOLK CAPITAL MGMT	040	WMT	B	660	79.30	n/a	16-May	26.40	0.0	
ROSEDALE CAPITAL	046	WY	B	10,000	29.57	n/a	19-Jun	400.00	0.0	
TOTAL (Trade Date) :								80,770.46		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/09	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		GE	B	75,000	27.25	n/a	n/a	2250.00 0.0
AO,CXL	12/09	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		GE	B	50,000	27.22	n/a	n/a	1500.00 0.0
AO,CXL	12/09	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS) 040		GE	B	25,000	27.31	n/a	n/a	750.00 0.0
AO,CXL	12/10	LIONEYE CAPITAL (LIONCSPBAC)	040	GIB	SS	5,000	34.61	n/a	n/a	250.00 0.0
AO,CRT	12/10	LIONEYE CAPITAL (LIONJPM)	040	GIB	SS	5,000	34.61	n/a	n/a	250.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	80,770.46
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>80,770.46</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