



## Daily Compliance Activity Report

Trade Date: 10/17/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	AA	SS	25,000	8.58	n/a	n/a	750.00	0.0
CAISSE DEPOT PLACEMENT Q	257	ACN	B	10,000	72.44	n/a	n/a	300.00	0.0
ARDSLEY PARTNERS	280	AGU	C	5,000	85.65	n/a	n/a	250.00	0.0
FRED ALGER MGMT	300	ALGN	S	260	43.49	n/a	n/a	9.36	0.0
J. GOLDMAN	028	ALV	S	19,000	92.36	n/a	19-Jun	760.00	0.0
ASCEND PARTNERS	033	AMGN	S	30,000	115.25	n/a	n/a	900.00	0.0
KOLVEN CAPITAL	025	ARCP	B	1,000	12.80	n/a	n/a	30.00	0.0
TALON ASSET MGMT.	006	AXL	B	6,000	18.85	n/a	19-Jun	300.00	0.0
ROSEDALE CAPITAL	046	BAC	B	25,000	14.46	n/a	17-Jun	1,000.00	0.0
MSF CAPITAL (ENTRUST)	040	CCK	S	18,120	40.48	n/a	n/a	906.00	0.0
MSF CAPITAL (ENTRUST)	040	CFN	S	21,929	39.36	n/a	n/a	1,096.45	0.0
FRED ALGER MGMT	300	CGNX	S	290	31.34	n/a	n/a	10.44	0.0
FRED ALGER MGMT	300	CHMT	S	575	24.33	n/a	18-Feb	20.70	0.0
ARDSLEY PARTNERS	280	CHRW	C	5,000	59.70	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	CLF	B	80,000	23.33	n/a	n/a	4,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	CP	B	5,000	129.35	n/a	n/a	250.00	0.0
CSFB GLOBAL PROPRIETARY	041	CSX	B	30,000	25.45	n/a	n/a	1,500.00	0.0
FRED ALGER MGMT	300	CVS	B	76,035	59.07	n/a	n/a	2,737.26	0.0
S.A.C. CAPITAL	044	CX	SS	15,000	10.56	n/a	n/a	450.00	0.0
S.A.C. CAPITAL	044	DE	SS	5,000	83.72	n/a	11-Jul	150.00	0.0
MACELLUM CAPITAL	086	DKS	SS	40,000	51.82	n/a	19-Jun	1,200.00	0.0
<b>Õ Larry Leeds</b>		<b>DLIA</b>	<b>S</b>	<b>10000</b>	<b>1.1404</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	EWJ	SS	40,000	12.05	n/a	n/a	1,200.00	0.0
ARDSLEY PARTNERS	280	FBHS	SS	10,000	38.03	n/a	n/a	500.00	0.0
ELM RIDGE ADVISORS	044	FCS	B	25,000	12.59	n/a	n/a	1,000.00	0.0
INTERVAL PARTNERS	033	FOSL	S	2,500	120.40	n/a	n/a	75.00	0.0
S.A.C. CAPITAL	044	FOSL	S	55,000	120.50	n/a	n/a	1,650.00	0.0
T. ROWE PRICE	243	FOSL	B	66,280	120.24	n/a	n/a	2,651.20	0.0
S.A.C. CAPITAL	044	FXI	SS	15,000	38.06	n/a	n/a	450.00	0.0
FIRST NY SEC/CHRIS	041	F	SS	50,000	17.42	n/a	19-Jun	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAISSE DEPOT PLACEMENT Q	257	GMCR	S	75,000	64.01	n/a	n/a	3,750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	100,000	35.33	n/a	19-Jun	3,000.00	0.0
YG PARTNERS LLC	041	GM	B	10,000	35.38	n/a	19-Jun	400.00	0.0
SANDLER O'NEILL ASSET	031	GS	B	15,000	157.96	n/a	6-May	750.00	0.0
NEUBERGER BERMAN	036	HBI	S	5,000	63.00	n/a	3-May	200.00	0.0
NOKOMIS PARTNERS	031	HCOM	S	4,485	27.02	n/a	n/a	134.55	0.0
FRED ALGER MGMT	300	IBM	S	188,982	174.60	n/a	n/a	6,803.36	0.0
BADGE CAPITAL	030	IRET	S	2,000	8.89	n/a	n/a	60.00	0.0
S.A.C. CAPITAL	044	ITB	B	50,000	22.11	n/a	n/a	1,500.00	0.0
S.A.C. CAPITAL	044	KBH	B	10,000	17.01	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	LECO	S	130	68.46	n/a	n/a	4.68	0.0
S.A.C. CAPITAL	044	LEN	B	10,000	35.30	n/a	n/a	300.00	0.0
VERITION	028	LEN	SS	7,500	34.69	n/a	n/a	225.00	0.0
FRED ALGER MGMT	300	LII	S	185	73.57	n/a	n/a	6.66	0.0
FRED ALGER MGMT	300	LKQ	S	170	32.00	n/a	n/a	6.12	0.0
ASCEND PARTNERS	033	LLY	B	250,000	49.56	n/a	n/a	7,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	LL	S	85	106.51	n/a	n/a	3.06	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>MASI</b>	<b>B</b>	<b>10,000</b>	<b>28.24</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>0.0</b>
TROUBH PART	070	MU	B	25,000	16.87	n/a	n/a	1,250.00	0.0
BALYASNY ASSET MGMT	044	M	B	27,700	43.64	n/a	18-Jun	1,385.00	0.0
HALCYON LLC	041	NCT	S	85,000	5.80	n/a	n/a	1,700.00	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>NVDQ</b>	<b>B</b>	<b>20,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>0.0</b>
CADIAN CAPITAL	041	ORLY	S	10,500	134.85	n/a	n/a	315.00	0.0
HARVEST MGMT (JMP)	029	PETM	SS	5,000	70.72	n/a	n/a	250.00	0.0
LAKEWOOD CAPITAL MGMT	085	PRKR	C	50,000	5.49	n/a	n/a	1,500.00	0.0
FIRST NEW YORK	086	RAD	B	20,000	5.31	n/a	n/a	800.00	0.0
S.A.C. CAPITAL	044	RIO	SS	30,000	51.53	n/a	n/a	900.00	0.0
S.A.C. CAPITAL	044	RLGY	B	5,000	43.78	n/a	n/a	150.00	0.0
FIRST NY SEC/CHRIS	041	RL	B	5,000	160.34	n/a	24-May	250.00	0.0
WEXFORD CAPITAL	284	RL	B	5,000	159.12	n/a	24-May	150.00	0.0
FRED ALGER MGMT	300	SBNY	S	105	96.31	n/a	n/a	3.78	0.0
FRED ALGER MGMT	300	SCI	S	475	18.73	n/a	n/a	17.10	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	300	SEIC	S	300	32.17	n/a	n/a	10.80	0.0
COHE & STEERS	041	SHO	S	51,396	13.15	n/a	n/a	1,541.88	0.0
FRED ALGER MGMT	300	SKT	S	280	34.30	n/a	n/a	10.08	0.0
GALT INVESTMENT	041	SKX	S	20,000	28.90	n/a	n/a	1,000.00	0.0
FRED ALGER MGMT	300	SM	S	155	85.28	n/a	n/a	5.58	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>SWY</b>	<b>S</b>	<b>15,000</b>	<b>33.10</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>0.0</b>
BRIGADE CAPITAL MGMT	029	TAST	B	28,161	5.50	n/a	n/a	844.83	0.0
VERITION	028	TOL	SS	10,000	31.64	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	TSS	S	400	29.94	n/a	n/a	14.40	0.0
TYVOR CAPITAL LLC	031	TUMI	S	3,465	20.79	n/a	n/a	103.95	0.0
J. GOLDMAN	028	UAL	B	50,000	31.05	n/a	18-Jun	2,000.00	0.0
KINGDON ASSET MGMT	041	UAL	S	50,000	31.10	n/a	18-Jun	2,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	UNP	S	10,000	151.46	n/a	n/a	500.00	0.0
KINGDON ASSET MGMT	041	URBN	SS	55,300	36.17	n/a	n/a	2,212.00	0.0
KADE CAPITAL LLC	028	USB	B	16,000	37.52	n/a	n/a	640.00	0.0
LOMAS CAPITAL	040	USB	B	41,000	37.29	n/a	n/a	1,230.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	USB	S	572,838	37.47	n/a	n/a	22,913.52	0.0
J. GOLDMAN	028	UTX	SS	12,500	107.78	n/a	n/a	500.00	0.0
S.A.C. CAPITAL	044	UTX	SS	7,500	107.53	n/a	n/a	225.00	0.0
KEYGROUP/KGLT	040	VLO	B	25,000	38.30	n/a	n/a	1,000.00	0.0
CADIAN CAPITAL	041	WFM	C	24,000	63.27	n/a	n/a	720.00	0.0
ARDSLEY PARTNERS	280	WSM	SS	10,000	52.41	n/a	n/a	500.00	0.0
HARVEST MGMT (JMP)	029	WSM	SS	5,000	52.44	n/a	n/a	250.00	0.0
<b>TOTAL (Trade Date):</b>								<b>100,832.76</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/16	NEWLAND CAPITAL MGT (NEWLGS)	025	MCP	S	25,000	5.24	n/a	n/a	750.00 3.0
AO,CXL	10/16	NEWLAND CAPITAL MGT (NEWLGS)	025	MCP	S	25,000	5.24	n/a	n/a	1000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-250.00</b>
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TOTAL (Trade Date) :	100,832.76
TOTAL (AO, CXL, CRT) :	-250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>100,582.76</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