

Daily Compliance Activity Report Trade Date: 08/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
SIMMONS VENTURES	041	ANF	В	1,000	38.56	n/a	n/a	50.00	0.0
SCOPUS FUND	041	ANN	В	25,000	32.41	n/a	n/a	1,000.00	0.0
SIMMONS VENTURES	041	ARO	В	6,500	10.89	n/a	n/a	325.00	0.0
MAPLE ROW	006	AXL	В	2,500	20.42	n/a	19-Jun	125.00	0.0
SCOPUS FUND	041	AXL	В	50,000	20.27	n/a	19-Jun	2,000.00	0.0
TIDE POINT CAPITAL	028	AXL	В	27 , 299	20.09	n/a	19-Jun	818.97	0.0
CAPITAL WORLD	084	ВМҮ	S	185,000	41.39	n/a	n/a	6,475.00	0.0
SIMMONS VENTURES	041	BONT	В	4,750	13.29	n/a	18-Jun	237.50	0.0
EDGEWOOD	085	CMG	S	35,000	406.10	n/a	3-Jun	1,750.00	0.0
FRED ALGER MGMT	070	CSCO	S	64,100	24.03	n/a	26-Feb	2,307.60	0.0
BRONSON POINT	036	DG	S	25,000	55.40	n/a	4-Jun	750.00	0.0
SCOPUS FUND	041	DG	В	100,000	55.27	n/a	4-Jun	4,000.00	0.0
FRED ALGER MGMT	070	DHR	В	100,200	66.97	n/a	n/a	3,607.20	0.0
KEY ASSET MGMT/VICTORY	220	DKS	В	140,551	46.68	n/a	19-Jun	5,622.04	0.0
MAPLE LANE CAPITAL	040	DLTR	В	25,000	51.65	n/a	4-Jun	1,250.00	0.0
MARSICO CAPITAL	046	DLTR	S	64,178	52.89	n/a	4-Jun	2,567.12	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
RIVERPARK CAPITAL	025	DLTR	S	22,138	53.18	n/a	4-Jun	1,106.90	0.0
S.A.C. CAPITAL	044	DLTR	S	25,000	51.65	n/a	4-Jun	750.00	0.0
TYVOR CAPITAL LLC	031	DLTR	В	25,000	51.38	n/a	4-Jun	750.00	0.0
LISTED ERR	099	DLTR	В	200	52.57	n/a	4-Jun	0.00	0.0
KEY ASSET MGMT/VICTORY	220	DTV	В	100,551	58.09	n/a	n/a	4,022.04	0.0
LISTED ERR	099	DTV	s	255	58.09	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DVR	S	3,723	2.05	n/a	n/a	74.46	0.0
GALT INVESTMENT	041	EXPR	В	30,000	19.74	n/a	n/a	1,200.00	0.0
NEUBERGER BERMAN	036	FFIN	В	3,000	60.24	n/a	n/a	120.00	0.0
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JET CAPITAL/CHRIS	041	GEO	S	1,031	32.63	n/a	n/a	30.93	0.0
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SCOPUS FUND	041	GES	SS	15,000	29.00	n/a	31-May	600.00	0.0
Section Fond	0 11	GED	00	13,000	29.00	117 a	Ji nay	000.00	0.0
BALYASNY ASSET MGMT	044	GM	В	50,000	34.99	n/a	19-Jun	2,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	В	10,000	34.97	n/a	19-Jun	300.00	0.0
TIDE POINT CAPITAL	028	GM	В	20,000	34.93	n/a	19-Jun	600.00	0.0
TIDE FOINT CAPITAL	020	GM	Ь	20,000	34.93	11/ a	19-0uii	800.00	0.0
OCUTE CADITAL MOME	224	CC	SS	14 000	150 (5	- /-	C M	700 00	0 0
OSKIE CAPITAL MGMT		GS			158.65	n/a	6-May	700.00	0.0
WADDELL AND REED	047	GS	S	104,220	158.08	n/a	6-May	4,168.80	0.0
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FRED ALGER MGMT	070	IBM	S	71,605	185.25	n/a	n/a	2,577.78	0.0
FRED ALGER MGMT	070	IR	В	46,320	61.39	n/a	19-Jun	1,667.52	0.0
JET CAPITAL/CHRIS	041	IYR	С	1,000	62.33	n/a	n/a	30.00	0.0

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ROTHSCHILD ASSET	040	JBL	В	4,369	23.53	n/a	n/a	174.76	0.0
MAPLE ROW	006	КВН	В	7,500	17.06	n/a	n/a	375.00	0.0
STRONG/MARK GRONET	030	LCC	В	53,225	16.21	n/a	18-Jun	2,129.00	0.0
MAPLE ROW	006	LEN	В	7,500	33.53	n/a	n/a	375.00	0.0
MAPLE ROW	006	LRCX	В	7,500	48.29	n/a	n/a	375.00	0.0
SIGMA CAP BOBBY	044	MAR	В	50,000	40.66	n/a	13-Jun	1,500.00	0.0
MAPLE ROW	006	MAS	В	5,000	19.43	n/a	n/a	250.00	0.0
OSKIE CAPITAL MGMT	224	MS	SS	50,000	26.33	n/a	6-Jun	2,500.00	0.0
MAPLE ROW	006	MU	В	25,000	13.84	n/a	n/a	1,250.00	0.0
BALYASNY ASSET MGMT	044	М	В	25,000	45.15	n/a	18-Jun	1,250.00	0.0
BALYASNY ASSET MGMT	044	PCP	В	20,000	219.21	n/a	11-Jun	1,000.00	0.0
MAPLE ROW	006	PHM	В	7,500	16.37	n/a	n/a	375.00	0.0
BTG PACTUAL	040	RH	S	6,800	70.32	n/a	n/a	204.00	0.0
SIMMONS VENTURES	041	ROST	В	1,700	68.40	n/a	18-Jun	85.00	0.0
BNP PARIBAS SEC	040	SIRI	S	100,000	3.65	n/a	n/a	3,000.00	0.0
	ROTHSCHILD ASSET MAPLE ROW STRONG/MARK GRONET MAPLE ROW MAPLE ROW SIGMA CAP BOBBY MAPLE ROW OSKIE CAPITAL MGMT MAPLE ROW BALYASNY ASSET MGMT BALYASNY ASSET MGMT MAPLE ROW BTG PACTUAL SIMMONS VENTURES	ROTHSCHILD ASSET 040 MAPLE ROW 006 STRONG/MARK GRONET 030 MAPLE ROW 006 MAPLE ROW 006 SIGMA CAP BOBBY 044 MAPLE ROW 006 OSKIE CAPITAL MGMT 224 MAPLE ROW 006 BALYASNY ASSET MGMT 044 MAPLE ROW 006 BALYASNY ASSET MGMT 044 MAPLE ROW 006 BTG PACTUAL 040 SIMMONS VENTURES 041	ROTHSCHILD ASSET 040 JBL MAPLE ROW 006 KBH STRONG/MARK GRONET 030 LCC MAPLE ROW 006 LEN MAPLE ROW 006 LRCX SIGMA CAP BOBBY 044 MAR MAPLE ROW 006 MAS OSKIE CAPITAL MGMT 224 MS MAPLE ROW 006 MU BALYASNY ASSET MGMT 044 M BALYASNY ASSET MGMT 044 PCP MAPLE ROW 006 PHM BTG PACTUAL 040 RH SIMMONS VENTURES 041 ROST	ROTHSCHILD ASSET MAPLE ROW OO6 KBH B STRONG/MARK GRONET O30 LCC B MAPLE ROW O06 LEN B SIGMA CAP BOBBY O44 MAR B OSKIE CAPITAL MGMT CAPITAL MGMT BALYASNY ASSET MGMT MAPLE ROW O06 MU B BALYASNY ASSET MGMT O44 PCP B MAPLE ROW O06 PHM B SIGMA CAP BOBBY O44 MC B SS MAPLE ROW O44 MC B SS MAPLE ROW O44 MC B BALYASNY ASSET MGMT O44 PCP B MAPLE ROW O44 B SS SIMMONS VENTURES O41 ROST B	ROTHSCHILD ASSET 040 JBL B 4,369 MAPLE ROW 006 KBH B 7,500 STRONG/MARK GRONET 030 LCC B 53,225 MAPLE ROW 006 LEN B 7,500 MAPLE ROW 006 LRCX B 7,500 SIGMA CAP BOBBY 044 MAR B 50,000 MAPLE ROW 006 MAS B 5,000 OSKIE CAPITAL MGMT 224 MS SS 50,000 MAPLE ROW 006 MU B 25,000 BALYASNY ASSET MGMT 044 M B 25,000 MAPLE ROW 006 PHM B 7,500 MAPLE ROW 006 PHM B 7,500 BALYASNY ASSET MGMT 044 PCP B 20,000 MAPLE ROW 006 PHM B 7,500 BTG PACTUAL 040 RH S 6,800 SIMMONS VENTURES 041 ROST B 1,700	ROTHSCHILD ASSET 040 JBL B 4,369 23.53 MAPLE ROW 006 KBH B 7,500 17.06 STRONG/MARK GRONET 030 LCC B 53,225 16.21 MAPLE ROW 006 LEN B 7,500 33.53 MAPLE ROW 006 LRCX B 7,500 48.29 SIGMA CAP BOBBY 044 MAR B 50,000 40.66 MAPLE ROW 006 MAS B 5,000 19.43 OSKIE CAPITAL MGMT 224 MS SS 50,000 26.33 MAPLE ROW 006 MU B 25,000 13.84 BALYASNY ASSET MGMT 044 PCP B 20,000 219.21 MAPLE ROW 006 PHM B 7,500 16.37 BTG PACTUAL 040 RH S 6,800 70.32 SIMMONS VENTURES 041 ROST B 1,700 68.40	ROTHSCHILD ASSET 040 JBL B 4,369 23.53 n/a MAPLE ROW 006 KBH B 7,500 17.06 n/a STRONG/MARK GRONET 030 LCC B 53,225 16.21 n/a MAPLE ROW 006 LEN B 7,500 33.53 n/a MAPLE ROW 006 LRCX B 7,500 48.29 n/a SIGMA CAP BOBBY 044 MAR B 50,000 40.66 n/a MAPLE ROW 006 MAS B 5,000 19.43 n/a OSKIE CAPITAL MGMT 224 MS SS 50,000 26.33 n/a MAPLE ROW 006 MU B 25,000 13.84 n/a BALYASNY ASSET MGMT 044 M B 25,000 45.15 n/a BALYASNY ASSET MGMT 044 PCP B 20,000 219.21 n/a MAPLE ROW 006 PHM B 7,500 16.37 n/a BTG PACTUAL 040 RH S 6,800 70.32 n/a SIMMONS VENTURES 041 ROST B 1,700 68.40 n/a	ROTHSCHILD ASSET 040 JBL B 4,369 23.53	ROTHSCHILD ASSET 040 JBL B 4,369 23.53

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ARDSLEY PARTNERS	280	SRE	В	5,000	83.35	n/a	n/a	250.00 0.0
MAPLE ROW	006	TOL	В	12,500	32.16	n/a	n/a	625.00 0.0
LOMBARDIA CAP MGMT	084	TPC	S	13,970	19.41	n/a	n/a	558.80 0.0
FRED ALGER MGMT	070	TYC	В	44,950	34.20	n/a	26-Apr	1,618.20 0.0

TOTAL (Trade Date): 71,978.62

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	08/21	CORTEX CAPITAL (CORTXMLCO)	031	ANW	S	25,000	8.79	n/a	n/a	750.00	0.0
AO,CXL	08/21	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	ANW	S	25,000	8.79	n/a	n/a	1250.00	0.0
AO,CXL	08/21	DC CAPITAL (DCCAGOLDMA)	044	LPX	В	50,000	15.13	n/a	19-Jun	2000.00	0.0
AO, CRT	08/21	DC CAPITAL (DCCAGOLDMA)	044	LPX	В	50,000	15.13	n/a	19-Jun	1500.00	0.0
TOTAL	(AO,	CXL, CRT):							-1,	000.00	

TOTAL (RUN DATE) / NFS:	70,978.62
TOTAL (AO, CXL, CRT):	-1,000.00
TOTAL (Trade Date):	71,978.62

Legend:

O: 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