



## Daily Compliance Activity Report

Trade Date: 01/28/2014

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER	006	AAL	B	8,800	31.70	n/a	n/a	352.00	0.0
TUDOR INVESTORS	028	ABB	SS	10,000	25.44	n/a	n/a	300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ALV	B	20,000	88.00	n/a	19-Jun	600.00	0.0
MAPLE ROW	006	AMAT	B	10,000	16.68	n/a	n/a	300.00	0.0
HALCYON LLC	041	ARCP	B	100,000	14.01	n/a	n/a	3,000.00	0.0
TUDOR INVESTORS	028	ASH	B	10,000	93.80	n/a	n/a	300.00	0.0
PRIMECAP MGMT	084	BMRN	B	3,000	68.69	n/a	n/a	120.00	0.0
DELTEC ASSET MGMT.	040	BONT	B	1,100	10.83	n/a	18-Jun	55.00	0.0
CHART WELL ADV	028	CAKE	B	83,400	44.85	n/a	25-Apr	3,336.00	0.0
LIONEYE CAPITAL	040	CLF	B	35,000	19.78	n/a	n/a	1,750.00	0.0
COUGAR TRADING	044	CPA	B	10,000	134.80	n/a	30-May	500.00	0.0
COUGAR TRADING	044	CPA	S	10,000	133.46	n/a	30-May	500.00	0.0
~ Jack Chernus		DAL	B	500	30.8700	n/a	18-Jun	0.00	0.0
~ Jack Chernus		DAL	B	500	30.8880	n/a	18-Jun	0.00	0.0
TUDOR INVESTORS	028	DD	SS	5,000	60.22	n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	DKS	B	12,500	51.94	n/a	19-Jun	625.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DORM	B	10,000	51.76	n/a	n/a	300.00	0.0
CAPITAL GUARDIAN /INTN'L	084	D	S	260,270	66.35	n/a	n/a	9,109.45	0.0
OSKIE CAPITAL MGMT	224	ESRX	S	20,000	74.22	n/a	n/a	1,000.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	FL	B	51,585	38.14	n/a	19-Jun	1,547.55	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	20,000	15.75	n/a	19-Jun	600.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GE	B	100,000	25.58	n/a	n/a	3,000.00	0.0
J. GOLDMAN	028	GLW	SS	15,000	17.13	n/a	n/a	600.00	0.0
MAPLE ROW	006	GRPN	B	5,000	10.18	n/a	n/a	150.00	0.0
FRED ALGER MGMT	300	GWW	S	4,750	237.52	n/a	11-Jun	171.00	0.0
TUDOR INVESTORS	028	HTZ	S	10,000	26.33	n/a	n/a	300.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	46.10	n/a	17-Jun	1,000.00	0.0
J. GOLDMAN	028	JACK	S	20,000	50.29	n/a	n/a	800.00	0.0
COBALT	041	JPM	B	100,000	55.71	n/a	17-Jun	4,000.00	0.0
TIDE POINT CAPITAL	028	LEA	B	20,000	77.13	n/a	19-Jun	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FIRST NY SEC/CHRIS	041	LOW	SS	5,000	46.95	n/a	n/a	250.00	0.0	
NEWLAND CAPITAL MGT	025	LPX	B	10,000	17.29	n/a	19-Jun	400.00	0.0	
CAPITAL GROWTH MGMT.	309	LUV	B	200,000	21.24	n/a	18-Jun	10,000.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC	025	MKTG	S	40,800	26.99		n/a	n/a	1,632.00	0.0
TUDOR INVESTORS	028	MWV	S	5,000	36.50	n/a	18-Jun	150.00	0.0	
SAC CHRIS C	041	MYL	S	50,000	44.63	n/a	17-Jun	1,500.00	0.0	
PRIMECAP MGMT	084	NKTR	B	2,500	13.20	n/a	n/a	100.00	0.0	
HALCYON LLC	041	NNN	S	19,340	32.71	n/a	n/a	580.20	0.0	
KOLVEN CAPITAL	025	NRF	B	1,000	14.50	n/a	n/a	30.00	0.0	
OSKIE CAPITAL MGMT	224	NRF	B	30,000	14.53	n/a	n/a	1,500.00	0.0	
HALCYON LLC	041	O	S	15,740	40.39	n/a	n/a	472.20	0.0	
PARKWEST	084	PLCM	B	100,000	12.10	n/a	n/a	4,000.00	0.0	
ADAGE CAPITAL MGMT	310	SWY	B	50,000	31.36	n/a	n/a	1,500.00	0.0	
SURVEYOR CAPITAL	251	SWY	S	50,000	31.36	n/a	n/a	2,000.00	0.0	
T. ROWE PRICE	243	TISI	S	11,584	43.92	n/a	n/a	463.36	0.0	
PRIMECAP MGMT	084	TXN	B	20,000	42.90	n/a	n/a	800.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	VAL	S	5,000	70.57	n/a	n/a	150.00	0.0
KADE CAPITAL LLC	028	VMC	SS	5,000	61.64	n/a	n/a	250.00	0.0
KINGDON ASSET MGMT	041	VMC	S	25,000	61.76	n/a	n/a	1,000.00	0.0
SANDLER CAPITAL	028	VMC	B	155,000	61.57	n/a	n/a	7,750.00	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086			VZ	SS	15,000	47.41	n/a	n/a	450.00 0.0
HALCYON LLC	041	WPC	S	2,180	61.24	n/a	n/a	65.40	0.0
DAVIDSON KEMPNER ADVISOR	281	WSM	B	12,500	54.42	n/a	n/a	625.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	12,500	81.36	n/a	n/a	375.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>71,109.16</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/27	HALCYON LLC (HALCBARCL)	041	ARCP	B	50,000	13.97	n/a	n/a	1500.00 0.0
AO,	01/27	HALCYON LLC (HALCBARCL)	041	ARCP	B	45,440	13.97	n/a	n/a	1363.20 0.0
AO,	01/27	HALCYON LLC (HALCSBSHPB)	041	ARCP	B	2,204	13.97	n/a	n/a	66.12 0.0
AO,	01/27	HALCYON LLC (HALCDBSI)	041	ARCP	B	2,356	13.97	n/a	n/a	70.68 0.0

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

TOTAL (Trade Date) :

71,109.16

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****71,109.16**

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