



Daily Compliance Activity Report

Trade Date: 12/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INTERVAL PARTNERS	033	AXL	SS	30,000	20.33	n/a	19-Jun	900.00	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	20.17	n/a	19-Jun	400.00	0.0
HERRING CREEK CAPITAL	040	BSX	B	44,879	11.94	n/a	n/a	1,346.37	0.0
FRONTFOUR CAPITAL	046	DAN	SS	20,000	19.62	n/a	19-Jun	400.00	0.0
KAYNE ANDERSON ADV	084	EFX	S	1,570	68.71	n/a	n/a	62.80	0.0
KAYNE ANDERSON ADV	084	EW	B	1,525	65.50	n/a	n/a	61.00	0.0
HARVEST MGMT	029	HIBB	B	2,500	67.19	n/a	n/a	100.00	0.0
WADDELL AND REED	047	HOG	S	12,200	68.91	n/a	n/a	488.00	0.0
KAYNE ANDERSON ADV	084	ITW	B	20,200	83.45	n/a	n/a	808.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	8.47	n/a	18-Jun	1,500.00	0.0
BRONSON POINT	036	LPX	S	50,000	18.84	n/a	19-Jun	1,500.00	0.0
HARVEST MGMT	029	M	S	10,000	52.71	n/a	18-Jun	400.00	0.0
HARVEST MGMT	029	PIR	B	10,000	23.49	n/a	n/a	400.00	0.0
DONALD SMITH	088	RCL	S	4,514	47.49	n/a	n/a	135.42	0.0
KAYNE ANDERSON ADV	084	SBNY	B	2,125	108.62	n/a	n/a	85.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAYNE ANDERSON ADV	084	WAT	S	1,000	99.49	n/a	n/a	40.00	0.0
FRONTFOUR CAPITAL	046	WNC	B	10,000	12.43	n/a	n/a	200.00	0.0
KAYNE ANDERSON ADV	084	XRAY	S	2,055	48.77	n/a	n/a	82.20	0.0
TOTAL (Trade Date):								8,908.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	BLL	S	7,155	50.85	n/a	n/a	357.75	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	BLL	S	34,620	50.85	n/a	n/a	1731.00	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	BLL	S	385	50.85	n/a	n/a	19.25	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	BLL	S	2,840	50.85	n/a	n/a	142.00	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	CRR	S	1,590	114.33	n/a	13-Jun	79.50	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	CRR	S	7,693	114.33	n/a	13-Jun	384.65	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	CRR	S	86	114.33	n/a	13-Jun	4.30	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	CRR	S	631	114.33	n/a	13-Jun	31.55	0.0
AO,CXL	12/23	OSTERWEIS CAPITAL (OSTETOV)	084	DLR	B	6,480	48.35	n/a	n/a	324.00	0.0
AO,	12/23	OSTERWEIS CAPITAL (OSTETOV)	084	DLR	B	6,480	48.35	n/a	n/a	324.00	0.0
AO,CXL	12/23	OSTERWEIS CAPITAL (OSTETOF)	084	DLR	B	28,535	48.35	n/a	n/a	1426.75	0.0
AO,	12/23	OSTERWEIS CAPITAL (OSTETOF)	084	DLR	B	28,535	48.35	n/a	n/a	1426.75	0.0
AO,CXL	12/23	OSTERWEIS CAPITAL (OSTECITIBK)	084	DLR	B	15,575	48.35	n/a	n/a	778.75	0.0
AO,	12/23	OSTERWEIS CAPITAL (OSTECITIBK)	084	DLR	B	15,575	48.35	n/a	n/a	778.75	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	NM	B	52,470	10.39	n/a	n/a	1574.10	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	NM	B	253,881	10.39	n/a	n/a	7616.43	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	NM	B	2,822	10.39	n/a	n/a	84.66	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	NM	B	20,827	10.39	n/a	n/a	624.81	0.0
AO,	12/23	IMPALA ASSET MMT (IMPAFIDELI)	040	SWFT	B	15,900	22.09	n/a	n/a	636.00	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	SWFT	B	855	22.09	n/a	n/a	34.20	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	SWFT	B	6,312	22.09	n/a	n/a	252.48	0.0
AO,	12/23	IMPALA ASSET MMT (IMPACITI)	040	SWFT	B	76,933	22.09	n/a	n/a	3077.32	0.0
TOTAL (AO, CXL, CRT) :										16,650.00	

TOTAL (Trade Date):	8,908.79
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TOTAL (RUN DATE) / NFS:	25,558.79
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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