



Daily Compliance Activity Report

Trade Date: 11/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	029	ADI	S	93,000	49.10	n/a	n/a	2,790.00	0.0
SENATOR INVESTMENT GROUP	287	AGN	B	125,000	98.54	n/a	17-Jun	3,750.00	0.0
MACELLUM CAPITAL	086	ANF	B	85,000	35.31	n/a	n/a	2,550.00	0.0
BADGE CAPITAL	030	APL	B	1,200	34.54	n/a	n/a	42.00	0.0
DC CAPITAL	044	ATI	B	50,000	33.70	n/a	11-Jun	2,000.00	0.0
BERYLSON CAPITAL	030	BONT	S	25,000	12.71	n/a	18-Jun	750.00	0.0
MOORE CAPITAL	257	CAT	SS	25,000	83.19	n/a	11-Jul	750.00	0.0
EATON VANCE MGMT	029	COP	S	10,000	72.53	n/a	n/a	300.00	0.0
MOORE CAPITAL	257	DE	C	15,000	84.59	n/a	11-Jul	450.00	0.0
SENATOR INVESTMENT GROUP	287	DRC	B	200,000	56.87	n/a	n/a	6,000.00	0.0
JET CAPITAL/CHRIS	041	ELN	S	250,000	17.82	n/a	n/a	7,500.00	0.0
CASTLEROCK	040	GMCR	B	29,178	62.94	n/a	n/a	1,167.12	0.0
WELLSPRING CAPITAL	093	GMCR	B	4,000	60.98	n/a	n/a	160.00	0.0
PHILADELPHIA FINANCIAL	033	GM	B	120,000	38.50	n/a	19-Jun	4,800.00	0.0
FORTRESS INVESTMENT (US)	036	HD	SS	50,000	79.73	n/a	n/a	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	IP	B	50,000	45.46	n/a	17-Jun	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	IP	B	90,000	45.22	n/a	17-Jun	1,800.00	0.0
MOORE CAPITAL	257	IP	C	25,000	45.30	n/a	17-Jun	750.00	0.0
NEW VERNON/SF INVESTMENTS	031	JBLU	B	179,900	8.80	n/a	18-Jun	8,995.00	0.0
PENNANT CAP MGMT	250	JCOM	B	17,500	46.02	n/a	n/a	525.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	JOSB	B	15,000	50.00	n/a	n/a	450.00	0.0
FORTRESS INVESTMENT (US)	036	KBE	B	224,000	31.72	n/a	n/a	4,480.00	0.0
Ö Jack Chernus		LCC	S	15	0.4700	n/a	18-Jun	0.00	0.0
PRIMECAP MGMT	084	LIFE	S	5,000	75.59	n/a	n/a	200.00	0.0
KORTRIGHT CAPITAL PARTNERS	025	LPX	B	50,000	15.91	n/a	19-Jun	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	MAS	SS	92,000	21.71	n/a	n/a	3,680.00	0.0
TUDOR INVESTORS	028	MAS	S	10,000	21.64	n/a	n/a	300.00	0.0
PENNANT CAP MGMT	250	MDP	B	35,000	51.48	n/a	n/a	1,050.00	0.0
EATON VANCE MGMT	029	MRK	S	10,000	48.33	n/a	n/a	300.00	0.0
DSM CAPITAL PARTNERS	085	OMC	B	11,000	70.30	n/a	n/a	550.00	0.0
EATON VANCE MGMT	029	OXY	S	10,000	97.34	n/a	n/a	300.00	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086		PACR	S	6,778	8.60	n/a	n/a	135.56 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	287	PAGP	B	100,000	22.44	n/a	n/a	3,000.00	0.0
EATON VANCE MGMT	029	PFE	S	25,000	31.99	n/a	n/a	750.00	0.0
KENNEDY CAPITAL	046	PLCE	B	23,530	52.72	n/a	24-May	941.20	0.0
EATON VANCE MGMT	029	PSX	S	10,000	67.39	n/a	n/a	300.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	73,500	93.73	n/a	17-Jun	2,940.00	0.0
FORWARD MGMT	033	RNG	S	6,650	16.45	n/a	n/a	266.00	0.0
PRIMECAP MGMT	084	SCHW	S	25,000	24.44	n/a	n/a	1,000.00	0.0
FRED ALGER MGMT	300	SNDK	S	96,840	66.87	n/a	n/a	3,486.24	0.0
FIRST INV MGMT CO	006	SPLS	S	11,800	15.10	n/a	n/a	590.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	SS	75,000	15.04	n/a	n/a	2,250.00	0.0
MAGNETAR FINANCIAL	031	SPY	B	1,900	179.45	n/a	n/a	57.00	0.0
TUDOR INVESTORS	028	TEL	B	2,000	51.45	n/a	n/a	60.00	0.0
INTERVAL PARTNERS	033	TJX	C	25,000	63.44	n/a	18-Jun	750.00	0.0
SENATOR INVESTMENT GROUP	287	TMO	B	50,000	101.13	n/a	n/a	1,500.00	0.0
EATON VANCE MGMT	029	T	S	10,000	35.74	n/a	n/a	300.00	0.0
GLENHILL CAPITAL	036	UA	SS	30,000	79.17	n/a	19-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MASTERS CAPITAL MANAGE	025	USO	SS	250,000	33.64	n/a	n/a	7,500.00	0.0
PENNANT CAP MGMT	250	VPRT	B	30,000	54.94	n/a	n/a	900.00	0.0
DSM CAPITAL PARTNERS	085	VSI	S	14,690	54.73	n/a	n/a	734.50	0.0
SENATOR INVESTMENT GROUP	287	WAT	SS	50,000	100.54	n/a	n/a	1,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	78.81	n/a	16-May	750.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	WRI	B	31,000	29.81	n/a	n/a	1,240.00	0.0
FORTRESS INVESTMENT (US)	036	XLI	SS	79,921	49.51	n/a	n/a	1,598.42	0.0
FORTRESS INVESTMENT (US)	036	XLI	S	69,579	49.51	n/a	n/a	1,391.58	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	12,500	95.65	n/a	n/a	375.00	0.0
TYVOR CAPITAL LLC	031	ZUMZ	SS	10,712	30.37	n/a	n/a	321.36	0.0
TOTAL (Trade Date):								97,525.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/19	COUGAR TRADING (COUGPB MS)	044	JBLU	B	25,000	8.72	n/a	18-Jun	1250.00 0.0
AO,	11/19	COUGAR TRADING (COUGPB MS)	044	JBLU	B	25,000	8.72	n/a	18-Jun	1000.00 0.0

TOTAL (AO, CXL, CRT) :	-250.00
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TOTAL (Trade Date) :	97,525.98
TOTAL (AO, CXL, CRT) :	-250.00

TOTAL (RUN DATE) / NFS:	97,275.98
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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