

## **Daily Compliance Activity Report** Trade Date: 09/19/2013

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm	.¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 ADT	:	S 10,	.000 42.70		n/a	n/a 30	00.00	0.0
FRED ALGER MGMT	300	ALKS	S	860	35.06	n/a	n/a	30.96	0.0	
FRED ALGER MGMT	300	ALK	S	715	62.78	n/a	n/a	25.74	0.0	
FRED ALGER MGMT	300	ATU	S	1,650	39.41	n/a	n/a	59.40	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 A	В	25,	000 51.93		n/a	n/a 75	50.00	0.0
KORT	025	BMS	SS	8,111	39.11	n/a	n/a	243.33	0.0	
BTG PACTUAL	040	CAKE	SS	25,000	44.46	n/a	25-Apr	750.00	0.0	
BAIRD INVESTMENT	047	CHD	В	38,200	62.39	n/a	17-Jun	1,910.00	0.0	
PRIMECAP MGMT	084	CMA	В	200	39.50	n/a	n/a	8.00	0.0	
IMPALA ASSET MMT	040	CMI	В	17,300	135.23	n/a	n/a	865.00	0.0	
FRED ALGER MGMT	300	CNC	S	275	59.61	n/a	n/a	9.90	0.0	
IMPALA ASSET MMT	040	CNW	S	112,096	41.85	n/a	n/a	5,604.80	0.0	
FRED ALGER MGMT	300	CPA	S	340	139.00	n/a	30-May	12.24	0.0	
FRED ALGER MGMT	300	CRL	S	245	46.77	n/a	n/a	8.82	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
IMPALA ASSET MMT	040	CX	В	33,000	12.09	n/a	n/a	990.00	0.0
FRED ALGER MGMT	300	DAN	S	1,610	22.74	n/a	19-Jun	57.96	0.0
PATTEN & PATTEN	025	DBD	В	4,000	29.90	n/a	16-Jul	200.00	0.0
LATEEF MGMT	033	DD	S	1,750	60.42	n/a	n/a	234.00	0.0
TIDE POINT CAPITAL	028	DE	В	10,000	85.25	n/a	11-Jul	300.00	0.0
ASCEND PARTNERS	033	DKS	S	150,000	53.30	n/a	19-Jun	4,500.00	0.0
PROVIDENCE EQUITY CAP. MK	TS.040	DOLE	S	106,000	13.59	n/a	n/a	2,120.00	0.0
CASTLEROCK	040	DRI	В	14,824	49.18	n/a	17-Jun	444.72	0.0
CASTLEROCK	040	DRI	SS	4,000	49.50	n/a	17-Jun	160.00	0.0
OZ MGMT	040	DRI	SS	89,792	49.14	n/a	17-Jun	2,693.76	0.0
MERRILL ASSET/BLACKROCK	085	EDD	S	53 <b>,</b> 000	14.51	n/a	n/a	2,120.00	0.0
IMPALA ASSET MMT	040	EMN	В	20,000	79.32	n/a	n/a	1,000.00	0.0
NEWLAND CAPITAL MGT	025	ETN	S	5,000	70.87	n/a	12-Jun	200.00	0.0
IMPALA ASSET MMT	040	FDX	SS	268	116.82	n/a	n/a	13.40	0.0
PENNANT CAP MGMT	250	FLR	S	11,000	71.27	n/a	n/a	220.00	0.0
EGS ASSOCIATES LP	091	FL	В	4,000	33.43	n/a	19-Jun	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
PENNANT CAP MGMT	250	FWLT	S	20,000	26.20	n/a	n/a	400.00	0.0	
MAPLE LANE CAPITAL	040	FXI	В	50,000	38.71	n/a	n/a	2,500.00	0.0	
OZ MGMT	040	F	С	50,000	17.59	n/a	19-Jun	1,500.00	0.0	
J. GOLDMAN	028	HRS	В	4,000	57.93	n/a	19-Apr	160.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 HUN	В	25,	000 19.68		n/a	n/a 750	.00	0.0
FARALLON CAP MGMT	040	IR	S	30,509	65.73	n/a	19-Jun	1,220.36	0.0	
DC CAPITAL	044	KSS	В	20,000	52.97	n/a	18-Jun	800.00	0.0	
STELLIAM INV ADV	086	LPX	В	50,000	18.12	n/a	19-Jun	2,500.00	0.0	
FRED ALGER MGMT	300	LTM	S	810	51.01	n/a	n/a	29.16	0.0	
ROYSTONE CAPITAL	040	LVLT	S	50,000	27.53	n/a	n/a	1,500.00	0.0	
IMPALA ASSET MMT	040	MDLZ	SS	948	32.91	n/a	n/a	37.92	0.0	
ALLIANZ/NICOLAS APPLEGATE	0	84 MET	:	5 162	,260 47.14		n/a	n/a 5,67	9.10	0.0
BAIRD INVESTMENT	047	MKC	В	45,700	69.19	n/a	n/a	2,285.00	0.0	
BMO / M&I FUNDS	047	MLI	S	4,4	80 55.92	n	/a 19-3	Jun 179.	20	0.0
IMPALA ASSET MMT	040	MTH	S	23,376	45.00	n/a	n/a	0.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
FRED ALGER MGMT	300	NCR	В	17,420	39.20	n/a	n/a	627.12	0.0
FRED ALGER MGMT	300	NOW	S	1,025	51.49	n/a	n/a	36.90	0.0
FRED ALGER MGMT	300	ONNN	S	3,105	7.45	n/a	n/a	93.15	0.0
FRED ALGER MGMT	300	ONXX	S	69,450	124.52	n/a	n/a	2,500.20	0.0
INTERVAL PARTNERS	033	PIR	С	10,000	20.98	n/a	n/a	300.00	0.0
FRED ALGER MGMT	300	PODD	S	770	37.57	n/a	n/a	27.72	0.0
FRED ALGER MGMT	300	PRXL	S	20,175	49.88	n/a	n/a	726.30	0.0
BADGE CAPITAL	030	RGS	В	1,000	14.85	n/a	n/a	50.00	0.0
OSKIE CAPITAL MGMT	224	RLGY	В	25,000	45.94	n/a	n/a	1,250.00	0.0
IMPALA ASSET MMT	040	ROK	В	21,000	109.06	n/a	n/a	1,050.00	0.0
FRED ALGER MGMT	300	SBNY	S	370	88.59	n/a	n/a	13.32	0.0
KORT	025	SCHL	SS	200	30.71	n/a	n/a	6.00	0.0
BADGE CAPITAL	030	SCHW	SS	1,000	20.70	n/a	n/a	30.00	0.0
FRED ALGER MGMT	300	SKT	S	645	33.29	n/a	n/a	23.22	0.0
IMPALA ASSET MMT	040	SPY	SS	34,700	172.77	n/a	n/a	1,735.00	0.0
	FRED ALGER MGMT  FRED ALGER MGMT  FRED ALGER MGMT  FRED ALGER MGMT  INTERVAL PARTNERS  FRED ALGER MGMT  FRED ALGER MGMT  BADGE CAPITAL  OSKIE CAPITAL MGMT  IMPALA ASSET MMT  FRED ALGER MGMT  KORT  BADGE CAPITAL  FRED ALGER MGMT	FRED ALGER MGMT 300  FRED ALGER MGMT 300  FRED ALGER MGMT 300  FRED ALGER MGMT 300  INTERVAL PARTNERS 033  FRED ALGER MGMT 300  FRED ALGER MGMT 300  BADGE CAPITAL 030  OSKIE CAPITAL MGMT 224  IMPALA ASSET MMT 040  FRED ALGER MGMT 300  KORT 025  BADGE CAPITAL 030  FRED ALGER MGMT 300	FRED ALGER MGMT 300 NCR  FRED ALGER MGMT 300 NOW  FRED ALGER MGMT 300 ONNN  FRED ALGER MGMT 300 ONXX  INTERVAL PARTNERS 033 PIR  FRED ALGER MGMT 300 PODD  FRED ALGER MGMT 300 PRXL  BADGE CAPITAL 030 RGS  OSKIE CAPITAL MGMT 224 RLGY  IMPALA ASSET MMT 040 ROK  FRED ALGER MGMT 300 SBNY  KORT 025 SCHL  BADGE CAPITAL 030 SCHW  FRED ALGER MGMT 300 SKT	FRED ALGER MGMT 300 NCR B  FRED ALGER MGMT 300 NOW S  FRED ALGER MGMT 300 ONNN S  FRED ALGER MGMT 300 ONXX S  INTERVAL PARTNERS 033 PIR C  FRED ALGER MGMT 300 PODD S  FRED ALGER MGMT 300 PRXL S  BADGE CAPITAL 030 RGS B  OSKIE CAPITAL MGMT 224 RLGY B  IMPALA ASSET MMT 040 ROK B  FRED ALGER MGMT 300 SBNY S  KORT 025 SCHL SS  BADGE CAPITAL 030 SCHW SS  FRED ALGER MGMT 300 SKT S	FRED ALGER MGMT 300 NCR B 17,420  FRED ALGER MGMT 300 NOW S 1,025  FRED ALGER MGMT 300 ONNN S 3,105  FRED ALGER MGMT 300 ONXX S 69,450  INTERVAL PARTNERS 033 PIR C 10,000  FRED ALGER MGMT 300 PODD S 770  FRED ALGER MGMT 300 PRXL S 20,175  BADGE CAPITAL 030 RGS B 1,000  OSKIE CAPITAL MGMT 224 RLGY B 25,000  IMPALA ASSET MMT 040 ROK B 21,000  FRED ALGER MGMT 300 SBNY S 370  KORT 025 SCHL SS 200  BADGE CAPITAL 030 SCHW SS 1,000  FRED ALGER MGMT 300 SCHW SS 1,000	FRED ALGER MGMT 300 NCR B 17,420 39.20  FRED ALGER MGMT 300 NOW S 1,025 51.49  FRED ALGER MGMT 300 ONNN S 3,105 7.45  FRED ALGER MGMT 300 ONXX S 69,450 124.52  INTERVAL PARTNERS 033 PIR C 10,000 20.98  FRED ALGER MGMT 300 PODD S 770 37.57  FRED ALGER MGMT 300 PRXL S 20,175 49.88  BADGE CAPITAL 030 RGS B 1,000 14.85  OSKIE CAPITAL MGMT 224 RLGY B 25,000 45.94  IMPALA ASSET MMT 040 ROK B 21,000 109.06  FRED ALGER MGMT 300 SBNY S 370 88.59  KORT 025 SCHL SS 200 30.71  BADGE CAPITAL 030 SCHW SS 1,000 20.70  FRED ALGER MGMT 300 SKT S 645 33.29	FRED ALGER MGMT 300 NCR B 17,420 39.20 n/a  FRED ALGER MGMT 300 NOW S 1,025 51.49 n/a  FRED ALGER MGMT 300 ONNN S 3,105 7.45 n/a  FRED ALGER MGMT 300 ONXX S 69,450 124.52 n/a  INTERVAL PARTNERS 033 PIR C 10,000 20.98 n/a  FRED ALGER MGMT 300 PODD S 770 37.57 n/a  FRED ALGER MGMT 300 PRXL S 20,175 49.88 n/a  BADGE CAPITAL 030 RGS B 1,000 14.85 n/a  OSKIE CAPITAL MGMT 224 RLGY B 25,000 45.94 n/a  IMPALA ASSET MMT 040 ROK B 21,000 109.06 n/a  FRED ALGER MGMT 300 SBNY S 370 88.59 n/a  KORT 025 SCHL SS 200 30.71 n/a  BADGE CAPITAL 030 SCHW SS 1,000 20.70 n/a  FRED ALGER MGMT 300 SKT S 645 33.29 n/a	FRED ALGER MGMT 300 NCR B 17,420 39.20 n/a n/a  FRED ALGER MGMT 300 NOW S 1,025 51.49 n/a n/a  FRED ALGER MGMT 300 ONNN S 3,105 7.45 n/a n/a  FRED ALGER MGMT 300 ONXX S 69,450 124.52 n/a n/a  INTERVAL PARTNERS 033 PIR C 10,000 20.98 n/a n/a  FRED ALGER MGMT 300 PODD S 770 37.57 n/a n/a  FRED ALGER MGMT 300 FRXL S 20,175 49.88 n/a n/a  BADGE CAPITAL 030 RGS B 1,000 14.85 n/a n/a  OSKIE CAPITAL MGMT 224 RIGY B 25,000 45.94 n/a n/a  IMPALA ASSET MMT 040 ROK B 21,000 109.06 n/a n/a  FRED ALGER MGMT 300 SBNY S 370 88.59 n/a n/a  KORT 025 SCHL SS 200 30.71 n/a n/a  BADGE CAPITAL 030 SCHW SS 1,000 20.70 n/a n/a  FRED ALGER MGMT 300 SCHW SS 1,000 20.70 n/a n/a  FRED ALGER MGMT 300 SCHW SS 1,000 20.70 n/a n/a	FRED ALGER MGMT 300 NCR B 17,420 39.20 n/a n/a 627.12  FRED ALGER MGMT 300 NOW S 1,025 51.49 n/a n/a 36.90  FRED ALGER MGMT 300 ONNN S 3,105 7.45 n/a n/a 93.15  FRED ALGER MGMT 300 ONXX S 69,450 124.52 n/a n/a 2,500.20  INTERVAL PARTNERS 033 PIR C 10,000 20.98 n/a n/a 300.00  ERED ALGER MGMT 300 PODD S 770 37.57 n/a n/a 27.72  FRED ALGER MGMT 300 PRXL S 20,175 49.88 n/a n/a 726.30  BADGE CAPITAL 030 RGS B 1,000 14.85 n/a n/a 50.00  OSKIE CAPITAL MGMT 224 RLGY B 25,000 45.94 n/a n/a 1,250.00  IMPALA ASSET MMT 040 ROK B 21,000 109.06 n/a n/a 1,050.00  FRED ALGER MGMT 300 SENY S 370 88.59 n/a n/a 13.32  KORT 025 SCHL SS 200 30.71 n/a n/a 6.00  BADGE CAPITAL 030 SCHW SS 1,000 20.70 n/a n/a 30.00  FRED ALGER MGMT 300 SKT S 645 33.29 n/a n/a 23.22

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	hr.
IRIDIAN ASSET MGMT.	036	STX	В	352,640	41.76	n/a	n/a	17,632.00 0	.0
Ď Nilsa Vazquez		TBT	S	15	1.1700	n/a	n/a	0.00 0	. 0
FRED ALGER MGMT	300	THRX	S	645	40.58	n/a	n/a	23.22 0	.0
PAR CAPITAL	029	TRIP	S	17,500	73.87	n/a	n/a	700.00 0	.0
FRED ALGER MGMT	300	TSS	S	1 <b>,</b> 995	29.84	n/a	n/a	71.82 0	.0
LOMAS CAPITAL	040	USB	S	114,000	37.75	n/a	n/a	3,420.00 0	.0
STANDARD PACIFIC CAPITAL	084	USG	S	52,666	28.49	n/a	29-Apr	2,633.30 0	.0
KEYGROUP/KGLT	040	VALE	В	25,000	16.58	n/a	n/a	1,000.00 0	.0
FRED ALGER MGMT	300	WCN	S	775	45.01	n/a	n/a	27.90 0	.0
HERRING CREEK CAPITAL MGM	O44	) WGO WGO	В	S 10,5	23.20	r n/a	n/a n/ n/a	a 315.00 315.00 0	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	В	62,800	11.83	n/a	n/a	1,884.00 0	.0
J. GOLDMAN	028	XLS	S	15,000	16.01	n/a	n/a	600.00 0	.0
FRED ALGER MGMT	300	XONE	В	7,925	51.68	n/a	n/a	285.30 0	.0

TOTAL (Trade Date): 82,949.24

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
AO,	09/17	GLG PARTNERS (GLGPNTHAU)	044	CPN	S	3,477	19.59	n/a	n/a	104.31	0.0
AO,CXL	09/17	GLG PARTNERS (GLGPELSAL)	044	CPN	S	3,477	19.59	n/a	n/a	104.31	0.0
ΑΟ,	09/18	ADAGE CAPITAL MGMT (ADAGGS)	030	HSP	В	17,060	40.14	n/a	17-Jun	511.80	0.0
AO,CXL	09/18	ADAGE CAPITAL MGMT (ADAGLONG)	030	HSP	В	17,060	40.14	n/a	17-Jun	511.80	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD61M710)	047	М	В	131	44.63	n/a	18-Jun	5.24	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD42V060)	047	М	В	43	44.63	n/a	18-Jun	1.72	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD711276)	047	M	В	62	44.63	n/a	18-Jun	2.48	0.0
AO,	09/18	BMO / M&I FUNDS (MIFD41N108)	047	M	В	38	44.63	n/a	18-Jun	1.52	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	M	В	62	44.63	n/a	18-Jun	2.48	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	М	В	131	44.63	n/a	18-Jun	5.24	0.0
AO,CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	М	В	38	44.63	n/a	18-Jun	1.52	0.0
AO, CXL	09/18	BMO / M&I FUNDS (MIFDMAIN)	047	М	В	43	44.63	n/a	18-Jun	1.72	0.0

TOTAL (RUN DATE) / NFS:	82,949.24
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	82,949.24 -0.00

## 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