



## Daily Compliance Activity Report

Trade Date: 08/16/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	6,300	34.78	n/a	n/a	252.00	0.0
TUDOR INVESTORS	028	ABX	B	5,000	19.62	n/a	n/a	150.00	0.0
SCOGGIN LLC	041	ACT	B	23,000	134.17	n/a	19-Jun	1,150.00	0.0
CORNERSTONE	030	AMZN	B	31,894	285.68	n/a	n/a	956.82	0.0
TYVOR CAPITAL LLC	031	ANF	B	5,000	48.55	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	ANR	B	10,000	6.08	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	ANV	SS	20,000	4.63	n/a	n/a	600.00	0.0
TUDOR INVESTORS	028	BA	SS	5,000	103.33	n/a	11-Jun	150.00	0.0
LATEEF MGMT	033	BDN	B	750	12.70	n/a	n/a	75.00	0.0
TUDOR INVESTORS	028	BLL	B	20,000	45.14	n/a	n/a	600.00	0.0
TUDOR INVESTORS	028	CAT	B	5,000	85.55	n/a	11-Jul	150.00	0.0
TUDOR INVESTORS	028	CCK	SS	5,000	44.28	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	CMI	SS	5,000	124.80	n/a	n/a	150.00	0.0
SENATOR INVESTMENT GROUP	287	DE	B	500,000	84.06	n/a	11-Jul	15,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	DE	SS	10,000	84.21	n/a	11-Jul	300.00	0.0
BNP PARIBAS SEC	040	DHI	S	30,000	19.62	n/a	n/a	900.00	0.0
ASCEND PARTNERS	033	DKS	C	25,000	50.44	n/a	19-Jun	750.00	0.0
TUDOR INVESTORS	028	DOW	SS	10,000	37.07	n/a	n/a	300.00	0.0
TUDOR INVESTORS	028	ETN	B	10,000	65.55	n/a	12-Jun	300.00	0.0
TUDOR INVESTORS	028	EXPD	B	5,000	39.98	n/a	n/a	150.00	0.0
TYVOR CAPITAL LLC	031	EXPR	B	5,000	20.70	n/a	n/a	150.00	0.0
SCOPUS FUND	041	FCX	B	20,000	32.10	n/a	n/a	800.00	0.0
TUDOR INVESTORS	028	FCX	B	5,000	31.46	n/a	n/a	150.00	0.0
NEUBERGER BERMAN	036	FELE	B	3,094	37.15	n/a	n/a	123.76	0.0
BALYASNY ASSET MGMT	044	FINL	B	50,000	21.70	n/a	19-Jun	2,500.00	0.0
LISTED ERR	099	FINL	B	500	21.72	n/a	19-Jun	0.00	0.0
LISTED ERR	099	FINL	S	500	21.65	n/a	19-Jun	0.00	0.0
BRIGADE CAPITAL MGMT	029	FNSR	S	25,000	21.20	n/a	n/a	750.00	0.0
LATEEF MGMT	033	F	B	500	16.29	n/a	19-Jun	50.00	0.0
SCOPUS FUND	041	F	SS	25,000	16.29	n/a	19-Jun	1,000.00	0.0
LATEEF MGMT	033	GIS	B	400	49.43	n/a	n/a	40.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	34.81	n/a	19-Jun	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	GM	B	10,000	34.43	n/a	19-Jun	300.00	0.0
S.A.C. CAPITAL	044	GWW	B	25,000	252.59	n/a	11-Jun	750.00	0.0
LATEEF MGMT	033	IBM	B	850	185.91	n/a	n/a	127.50	0.0
CHARTERBRIDGE CAPITAL	025	INTC	SS	75,000	22.05	n/a	n/a	2,250.00	0.0
TUDOR INVESTORS	028	IR	B	5,000	60.61	n/a	19-Jun	150.00	0.0
Õ Nilsa Vazquez		IVR	B	1000	14.9890	n/a	n/a	0.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN	044	IWM	B	100,000	101.95		n/a	n/a	4,000.00 0.0
CADIAN CAPITAL	041	JWN	C	9,000	57.24	n/a	18-Jun	270.00	0.0
M&I FUNDS	047	JWN	S	42,895	57.50	n/a	18-Jun	1,715.80	0.0
MACELLUM CAPITAL	086	KSS	S	40,000	52.71	n/a	18-Jun	1,200.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	S	250,000	16.16	n/a	18-Jun	10,000.00	0.0
BNP PARIBAS SEC	040	LEN	S	26,000	33.98	n/a	n/a	780.00	0.0
TUDOR INVESTORS	028	LEN	S	5,000	34.37	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	LII	B	5,000	68.64	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	MAS	S	10,000	19.33	n/a	n/a	300.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	MNRO	S	42,671	42.98		n/a	n/a	1,280.13 0.0
TUDOR INVESTORS	028	MWV	B	10,000	36.38	n/a	18-Jun	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
MACELLUM CAPITAL	086	M	SS	45,000	45.49	n/a	18-Jun	1,350.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	NBR	B	10,000	15.65		n/a	n/a	300.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	36.81	n/a	13-May	400.00	0.0	
TUDOR INVESTORS	028	PH	SS	7,000	103.53	n/a	n/a	210.00	0.0	
TUDOR INVESTORS	028	PPG	B	3,000	158.11	n/a	n/a	90.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	PRGO	B	7,500	120.42		n/a	18-Jun	225.00	0.0
CORNERSTONE	030	PVH	B	71,306	127.11	n/a	14-Jun	2,139.18	0.0	
LATEEF MGMT	033	RDSB	S	250	66.70	n/a	n/a	37.50	0.0	
CAERUS GLOBAL	041	RL	B	10,000	173.40	n/a	24-May	400.00	0.0	
TUDOR INVESTORS	028	SON	SS	5,000	38.08	n/a	n/a	150.00	0.0	
COUGAR TRADING	044	SSI	B	5,000	22.32	n/a	18-Jun	250.00	0.0	
WEISS PECK/ROBECO/BOSTON PT		040	SSI	C	6,400	22.52	n/a	18-Jun	320.00	0.0
TUDOR INVESTORS	028	TEX	B	5,000	31.98	n/a	n/a	1.50	0.0	
CORNERSTONE	030	TJX	S	321,969	50.64	n/a	18-Jun	9,659.07	0.0	
SCOPUS FUND	041	TJX	B	25,000	51.19	n/a	18-Jun	1,000.00	0.0	
TUDOR INVESTORS	028	VAL	B	7,000	62.97	n/a	n/a	210.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORT	025	WY	B	25,000	27.47	n/a	19-Jun	750.00	0.0
<b>TOTAL (Trade Date):</b>								<b>69,763.26</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/15	HARVEST MGMT (JMP) (HARVGSCO)	029	ATVI	SS	10,000	17.22	n/a	n/a	500.00 0.0
AO,CRT	08/15	HARVEST MGMT (JMP) (HARVGSCO)	029	ATVI	SS	10,000	17.22	n/a	n/a	400.00 0.0
AO,CXL	08/15	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	S	6,000	126.91	n/a	14-Jun	300.00 0.0
AO,CRT	08/15	HARVEST MGMT (JMP) (HARVGSCO)	029	PVH	S	6,000	126.91	n/a	14-Jun	240.00 0.0

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**TOTAL (AO, CXL, CRT) :****-160.00**

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**TOTAL (Trade Date) :****69,763.26****TOTAL (AO, CXL, CRT) :****-160.00**

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**TOTAL (RUN DATE) / NFS :****69,603.26**

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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