



## Daily Compliance Activity Report

Trade Date: 05/15/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                         | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |     |
|---------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| BROADARCH CAP/OLD NEWC          | 070  | AAPL   | S   | 500     | 430.14 | n/a | n/a      | 20.00       | 0.0 |
| MERRILL ASSET/BLACKROCK         | 297  | AVIV   | S   | 47,500  | 30.59  | n/a | n/a      | 1,900.00    | 0.0 |
| GEORGE WEISS                    | 278  | AXL    | B   | 15,000  | 16.18  | n/a | 13-May   | 600.00      | 0.0 |
| PROVIDENCE EQUITY CAP. MKTS.040 |      | CBB    | B   | 85,000  | 3.62   | n/a | n/a      | 2,550.00    | 0.0 |
| MAPLE ROW                       | 006  | CIE    | B   | 5,000   | 26.90  | n/a | n/a      | 150.00      | 0.0 |
| HIGHBRIDGE CAP                  | 041  | CLF    | SS  | 24,000  | 21.43  | n/a | n/a      | 720.00      | 0.0 |
| DELTEC ASSET MGMT.              | 040  | CMCSA  | B   | 20,000  | 43.18  | n/a | n/a      | 1,000.00    | 0.0 |
| IMPALA ASSET MMT                | 040  | CNW    | B   | 150,000 | 36.20  | n/a | n/a      | 6,000.00    | 0.0 |
| LEVIN CAPITAL STRATEGIES        | 041  | COH    | C   | 3,328   | 58.87  | n/a | 24-Apr   | 99.84       | 0.0 |
| PATTEN & PATTEN                 | 025  | COV    | B   | 2,000   | 65.94  | n/a | n/a      | 100.00      | 0.0 |
| BROADARCH CAP/OLD NEWC          | 070  | C      | B   | 500     | 50.90  | n/a | 15-May   | 20.00       | 0.0 |
| HIGHBRIDGE CAP                  | 041  | DE     | SS  | 5,648   | 90.26  | n/a | 11-Jul   | 169.44      | 0.0 |
| LATEEF MGMT                     | 033  | DE     | B   | 500     | 89.39  | n/a | 11-Jul   | 60.00       | 0.0 |
| SANDLER O'NEILL ASSET           | 031  | DFS    | S   | 15,000  | 47.27  | n/a | 15-May   | 750.00      | 0.0 |
| Õ Michael Ehrlich               |      | DRL    | S   | 100     | 0.8524 | n/a | n/a      | 0.00        | 0.0 |

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|---|-----------------------------|------|--------|------|---------|---------|-------|----------|-------------|----------|-----|
| Õ | Michael Ehrlich             |      | DRL    | S    | 100     | 0.8531  | n/a   | n/a      | 0.00        | 0.0      |     |
| Õ | Michael Ehrlich             |      | DRL    | S    | 100     | 0.8533  | n/a   | n/a      | 0.00        | 0.0      |     |
| Õ | Michael Ehrlich             |      | DRL    | S    | 4700    | 0.8523  | n/a   | n/a      | 0.00        | 0.0      |     |
|   | PATTEN & PATTEN             | 025  | EFA    | B    | 3,000   | 62.80   | n/a   | n/a      | 150.00      | 0.0      |     |
|   | BROADARCH CAP/OLD NEWC      | 070  | EMN    | B    | 3,000   | 68.91   | n/a   | n/a      | 120.00      | 0.0      |     |
|   | ADAGE CAPITAL MGMT          | 030  | ETN    | S    | 15,000  | 65.62   | n/a   | 2-May    | 450.00      | 0.0      |     |
|   | CAPITAL RESEARCH GROUP      |      | 296    | EXC  | B       | 117,000 | 35.21 | n/a      | n/a         | 4,095.00 | 0.0 |
|   | BROADARCH CAP/OLD NEWC      | 070  | FDX    | S    | 1,000   | 100.26  | n/a   | n/a      | 40.00       | 0.0      |     |
|   | PECONIC PARTNERS            | 036  | GM     | S    | 6,400   | 32.25   | n/a   | 13-May   | 320.00      | 0.0      |     |
|   | TROUBH PART                 | 070  | GM     | B    | 15,000  | 32.00   | n/a   | 13-May   | 750.00      | 0.0      |     |
|   | BROADARCH CAP/OLD NEWC      | 070  | GRPN   | B    | 2,500   | 7.19    | n/a   | n/a      | 100.00      | 0.0      |     |
|   | BROADARCH CAP/OLD NEWC      | 070  | IP     | B    | 500     | 48.67   | n/a   | 15-May   | 20.00       | 0.0      |     |
|   | NOMURA/ANGEL LANE PRINCIPAL | 040  | JBLU   | B    | 120,000 | 6.64    | n/a   | 10-May   | 3,600.00    | 0.0      |     |
|   | WEISS PECK/ROBECO/BOSTON PT |      | 040    | JBLU | B       | 30,225  | 6.68  | n/a      | 10-May      | 1,209.00 | 0.0 |
|   | LIONEYE CAPITAL             | 040  | JCP    | S    | 27,700  | 19.09   | n/a   | 15-May   | 1,385.00    | 0.0      |     |
|   | MACELLUM CAPITAL            | 086  | JCP    | S    | 113,000 | 19.04   | n/a   | 15-May   | 3,390.00    | 0.0      |     |
|   | MFP INVESTORS               | 085  | JCP    | S    | 25,000  | 19.06   | n/a   | 15-May   | 1,250.00    | 0.0      |     |
|   | MAPLE ROW                   | 006  | KOG    | B    | 20,000  | 8.31    | n/a   | n/a      | 600.00      | 0.0      |     |
|   | MASTERS CAPITAL MANAGE      | 025  | KORS   | B    | 100,000 | 61.37   | n/a   | 22-Apr   | 4,000.00    | 0.0      |     |

| Account                  | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm. ¢/Shr. |     |
|--------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| M&I FUNDS                | 047  | KO     | S   | 14,081  | 42.60  | n/a | 1-May    | 563.24       | 0.0 |
| BROADARCH CAP/OLD NEWC   | 070  | LCC    | B   | 500     | 18.76  | n/a | 10-May   | 20.00        | 0.0 |
| FEIN                     | 084  | LCC    | B   | 50,000  | 18.76  | n/a | 10-May   | 1,500.00     | 0.0 |
| M&I FUNDS                | 047  | LO     | B   | 6,270   | 43.71  | n/a | n/a      | 250.80       | 0.0 |
| BROADARCH CAP/OLD NEWC   | 070  | LRCX   | B   | 2,000   | 47.79  | n/a | n/a      | 80.00        | 0.0 |
| ADAGE CAPITAL MGMT       | 030  | LTD    | SS  | 15,100  | 50.75  | n/a | n/a      | 453.00       | 0.0 |
| M&I FUNDS                | 047  | LTD    | S   | 13,743  | 50.64  | n/a | n/a      | 549.72       | 0.0 |
| MAPLE ROW                | 006  | LUV    | B   | 15,000  | 14.34  | n/a | 10-May   | 450.00       | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041  | MCD    | B   | 50,000  | 101.93 | n/a | 13-May   | 1,500.00     | 0.0 |
| BROADARCH CAP/OLD NEWC   | 070  | MCK    | B   | 1,000   | 116.07 | n/a | n/a      | 40.00        | 0.0 |
| BROADARCH CAP/OLD NEWC   | 070  | MMM    | S   | 1,500   | 111.26 | n/a | n/a      | 60.00        | 0.0 |
| PATTEN & PATTEN          | 025  | MWV    | B   | 5,000   | 35.73  | n/a | 10-May   | 250.00       | 0.0 |
| SCOPUS FUND              | 041  | M      | SS  | 26,220  | 47.70  | n/a | 15-May   | 1,048.80     | 0.0 |
| BROADARCH CAP/OLD NEWC   | 070  | NCR    | B   | 1,000   | 30.82  | n/a | n/a      | 40.00        | 0.0 |
| PATTEN & PATTEN          | 025  | PCH    | S   | 5,000   | 50.01  | n/a | 15-May   | 250.00       | 0.0 |
| WADDELL AND REED         | 047  | PFE    | S   | 750,000 | 29.34  | n/a | n/a      | 30,000.00    | 0.0 |

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|------------------------------|------|--------|-----|--------|--------|-----|----------|-------------|--------|-----|
| DELTEC ASSET MGMT.           | 040  | PVH    | B   | 5,000  | 119.20 | n/a | 22-Apr   | 250.00      | 0.0    |     |
| PROVIDENCE EQUITY CAP. MKTS. | 040  | ROIAK  | B   | 74,600 | 2.21   | n/a | n/a      | 2,238.00    | 0.0    |     |
| SCOPUS FUND                  | 041  | ROST   | S   | 17,701 | 65.77  | n/a | 10-May   | 708.04      | 0.0    |     |
| Õ Jack Chernus               |      | STT    | S   | 10     | 0.5500 | n/a | 6-May    | 0.00        | 0.0    |     |
| OTTER CREEK MGMT             | 093  | SYK    | S   | 10,000 | 69.52  | n/a | n/a      | 500.00      | 0.0    |     |
| BRIGADE CAPITAL MGMT         | 029  | TAST   | S   | 9,580  | 5.94   | n/a | n/a      | 287.40      | 0.0    |     |
| CASTLEROCK                   | 040  | TGT    | SS  | 5,839  | 70.33  | n/a | 14-May   | 233.56      | 0.0    |     |
| ALLIANZ/NICOLAS APPLGATE     | 084  | THR    | S   | 19,500 | 19.53  |     | n/a      | n/a         | 682.50 | 0.0 |
| ELM RIDGE ADVISORS           | 044  | UAL    | B   | 38,800 | 34.36  | n/a | 10-May   | 1,552.00    | 0.0    |     |
| BROADARCH CAP/OLD NEWC       | 070  | UNH    | SS  | 1,000  | 61.53  | n/a | n/a      | 40.00       | 0.0    |     |
| HIGHBRIDGE CAP               | 041  | VALE   | SS  | 32,000 | 16.09  | n/a | n/a      | 960.00      | 0.0    |     |
| BROADARCH CAP/OLD NEWC       | 070  | VAL    | B   | 2,500  | 72.27  | n/a | n/a      | 100.00      | 0.0    |     |
| MERRILL ASSET/BLACKROCK      | 297  | WAL    | S   | 89,700 | 14.92  | n/a | n/a      | 3,588.00    | 0.0    |     |
| BROADARCH CAP/OLD NEWC       | 070  | WAT    | B   | 1,000  | 98.77  | n/a | n/a      | 40.00       | 0.0    |     |
| BROADARCH CAP/OLD NEWC       | 070  | WLK    | SS  | 1,000  | 92.15  | n/a | n/a      | 40.00       | 0.0    |     |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr.     |     |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| BROADARCH CAP/OLD NEWC     | 070  | XLI    | SS  | 3,000  | 43.37 | n/a | n/a      | 120.00           | 0.0 |
| BALYASNY ASSET MGMT        | 044  | X      | SS  | 75,000 | 18.05 | n/a | n/a      | 3,750.00         | 0.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |       |     |          | <b>87,763.34</b> |     |

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

| Type                          | Date  | Account                                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr.   |
|-------------------------------|-------|--|------|--------|-----|--------|-------|-----|----------|---------------|
| AO,CRT                        | 05/10 | PALISADE CAPITAL MANAGEMENT LLC (PALSA028) | 025  | LL     | B   | 5,498  | 87.94 | n/a | n/a      | 219.92 0.0    |
| AO,CXL                        | 05/10 | PALISADE CAPITAL MANAGEMENT LLC (PALS428)  | 025  | LL     | B   | 5,498  | 87.94 | n/a | n/a      | 219.92 0.0    |
| AO,CXL                        | 05/14 | BRIGADE CAPITAL MGMT (BRICGS)              | 029  | SFL    | S   | 24,046 | 17.04 | n/a | n/a      | 0.00 0.0      |
| AO,                           | 05/14 | BRIGADE CAPITAL MGMT (BRICGS)              | 029  | SFL    | S   | 24,046 | 17.04 | n/a | n/a      | 721.38 0.0    |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |  |      |        |     |        |       |     |          | <b>721.38</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 87,763.34 |
| TOTAL (AO, CXL, CRT) : | 721.38    |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>88,484.72</b> |
|---------------------------------|------------------|

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