



Daily Compliance Activity Report

Trade Date: 05/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	ADI	B	8,406	46.48	n/a	n/a	268.99	0.0
KLEINHEINZ CAP PART	031	AFL	B	90,000	56.82	n/a	n/a	4,500.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	15,000	17.89	n/a	28-May	600.00	0.0
SANDLER O'NEILL ASSET	031	BAC	S	55,000	13.77	n/a	30-May	2,750.00	0.0
TROUBH PART	070	BAC	B	25,000	13.90	n/a	30-May	1,250.00	0.0
KEY ASSET MGMT/VICTORY	220	BA	S	71,500	100.71	n/a	28-May	2,860.00	0.0
COBALT	041	BEAV	B	47,700	64.07	n/a	14-May	1,908.00	0.0
PRIMECAP MGMT	084	BIIB	S	2,000	240.25	n/a	n/a	80.00	0.0
COOPER CREEK PART	028	BONT	S	10,000	21.48	n/a	24-May	400.00	0.0
SANDLER CAPITAL	028	CCL	C	140,000	33.31	n/a	n/a	7,000.00	0.0
BASSWOOD PARTNERS	267	CIT	B	16,200	44.86	n/a	30-May	648.00	0.0
CHART WELL ADV	028	CIT	S	40,827	47.00	n/a	30-May	1,633.08	0.0
LOMAS CAPITAL	040	CP	B	21,000	134.85	n/a	n/a	630.00	0.0
DAVIDSON KEMPNER ADVISOR	040	CST	C	10,000	31.53	n/a	n/a	300.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	C	B	9,911	53.26	n/a	30-May	317.15	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TIDE POINT CAPITAL	028	DAN	B	25,000	19.24	n/a	20-May	750.00	0.0
J. GOLDMAN	028	DE	S	28,000	87.62	n/a	11-Jul	1,120.00	0.0
BARROW HANLEY MEWHINNEY	031	DLPH	B	203,812	49.73	n/a	n/a	7,133.47	0.0
SENATOR INVESTMENT GROUP	036	DLPH	S	300,000	49.65	n/a	n/a	9,000.00	0.0
LATEEF MGMT	033	DVN	S	125	58.49	n/a	28-May	30.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	EBAY	B	12,047	55.56	n/a	n/a	385.51	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	EMC	S	50,000	25.00	n/a	26-Feb	1,000.00	0.0
CORVEX CAPITAL	041	EQIX	S	27,400	204.87	n/a	n/a	822.00	0.0
GALT INVESTMENT	041	EXPR	S	50,000	20.96	n/a	n/a	2,500.00	0.0
J. GOLDMAN	028	FAST	B	48,000	51.95	n/a	n/a	1,920.00	0.0
LATEEF MGMT	033	FMER	S	400	18.82	n/a	n/a	40.00	0.0
TRELLUS PARTNERS LP	028	F	SS	10,000	15.94	n/a	28-May	300.00	0.0
DAVIDSON KEMPNER ADVISOR	040	IYR	SS	28,400	70.47	n/a	n/a	852.00	0.0
TIDE POINT CAPITAL	028	JCI	S	20,000	37.83	n/a	6-May	600.00	0.0
MELLON/BANK OF NEW YORK	046	KLAC	B	110,900	56.54	n/a	n/a	4,436.00	0.0
KEY ASSET MGMT/VICTORY	220	KMX	S	150,000	47.11	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAR CAPITAL	268	LCC	SS	35,300	18.04	n/a	20-May	1,412.00	0.0
PRIMECAP MGMT	084	LLY	B	3,000	54.20	n/a	n/a	120.00	0.0
JET CAPITAL/CHRIS	041	LPS	B	75,000	33.41	n/a	n/a	2,250.00	0.0
STELLIAM INV ADV	086	MSFT	B	55,000	35.22	n/a	n/a	2,200.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	25.50	n/a	6-May	1,250.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	MS	B	26,171	25.71	n/a	6-May	837.47	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	25,000	35.70	n/a	29-May	1,250.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	35.48	n/a	29-May	1,250.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PFE	S	31,343	28.30	n/a	n/a	1,002.96	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	106,700	2.34	n/a	n/a	3,201.00	0.0
LIONEYE CAPITAL	040	SKS	B	20,000	15.25	n/a	n/a	1,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SLM	S	35,000	24.19	n/a	30-May	700.00	0.0
STRONG/MARK GRONET	030	SSI	B	150,000	23.10	n/a	21-May	6,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	VOD	S	25,000	29.49	n/a	n/a	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	VZ	B	12,000	49.53	n/a	n/a	360.00	0.0
MASTERS CAPITAL MANAGE	025	WFR	S	200,000	8.35	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	14,000	20.88	n/a	n/a	420.00	0.0
CRAMER ROSENTHAL	070	WY	B	28,700	30.07	n/a	24-May	1,148.00	0.0
DAVIDSON KEMPNER ADVISOR	040	XLP	C	10,000	41.01	n/a	n/a	300.00	0.0
TOTAL (Trade Date):								93,235.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/29	M&I FUNDS (MIFD137)	047	GES	S	2,400	29.28	n/a	22-Apr	96.00 0.0
AO,	05/29	M&I FUNDS (MIFD150)	047	GES	S	522	29.28	n/a	22-Apr	20.88 0.0
AO,	05/29	M&I FUNDS (MIFD121)	047	GES	S	11,100	29.28	n/a	22-Apr	444.00 0.0
AO,CXL	05/29	M&I FUNDS (MIFDMAIN)	047	GES	S	15,076	29.28	n/a	22-Apr	603.04 0.0
AO,	05/29	M&I FUNDS (MIFDMAIN)	047	GES	S	1,054	29.28	n/a	22-Apr	42.16 0.0
AO,CXL	05/24	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	139,000	2.34	n/a	n/a	4170.00 0.0
AO,CRT	05/24	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	139,000	2.34	n/a	n/a	2780.00 2.0
TOTAL (AO, CXL, CRT) :										-1,390.00
TOTAL (Trade Date) :										93,235.63
TOTAL (AO, CXL, CRT) :										-1,390.00
TOTAL (RUN DATE) / NFS:										91,845.63

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