



Daily Compliance Activity Report

Trade Date: 07/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AXL	S	115,000	18.93	n/a	19-Jun	4,600.00	0.0
KEYGROUP/KGLT	040	BHI	S	25,000	47.32	n/a	n/a	1,000.00	0.0
BLACKTHORN	047	BK	B	30,000	31.82	n/a	6-Jun	1,500.00	0.0
ROTHSCHILD ASSET	040	CMS	S	62,867	28.11	n/a	n/a	2,514.68	0.0
LOMAS CAPITAL	040	CNW	B	9,700	39.52	n/a	n/a	291.00	0.0
BESSEMER INVESTMENT	085	COL	B	17,291	71.04	n/a	11-Jun	691.64	0.0
LOMAS CAPITAL	040	CSX	SS	60,000	24.81	n/a	n/a	1,800.00	0.0
S.A.C. CAPITAL	044	CX	B	15,000	11.56	n/a	n/a	450.00	0.0
FIRST NY SEC/CHRIS	041	DAL	B	15,000	21.23	n/a	18-Jun	750.00	0.0
BASSWOOD PARTNERS	267	DAN	B	54,200	21.26	n/a	19-Jun	1,626.00	0.0
J. GOLDMAN	028	DDS	B	5,000	81.72	n/a	n/a	200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DDS	SS	25,000	81.84	n/a	n/a	750.00	0.0
BALYASNY ASSET MGMT	044	FL	C	35,000	35.90	n/a	19-Jun	1,750.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	C	20,000	17.01	n/a	19-Jun	600.00	0.0
SCOPUS FUND	041	F	SS	100,000	16.95	n/a	19-Jun	4,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BRONSON POINT	036	GM	B	50,000	36.91	n/a	19-Jun	1,500.00	0.0	
CAERUS GLOBAL	041	GM	B	25,000	37.35	n/a	19-Jun	1,000.00	0.0	
PATRIOT STRATEGY PARTNERS	036	GM	B	20,000	36.81	n/a	19-Jun	800.00	0.0	
S.A.C. CAPITAL	044	GM	B	25,000	36.90	n/a	19-Jun	750.00	0.0	
VERITION	028	GM	B	10,000	36.78	n/a	19-Jun	300.00	0.0	
ROYSTONE CAPITAL	040	GNTX	B	51,500	21.69	n/a	19-Jun	1,545.00	0.0	
CAMBIAR CAP	046	GPI	B	1,800	68.61	n/a	19-Jun	72.00	0.0	
BRONSON POINT	036	GT	B	50,000	16.76	n/a	n/a	1,500.00	0.0	
BRONSON POINT	036	HAL	B	25,000	44.74	n/a	n/a	750.00	0.0	
ROXBURY CAPITAL (HOOD RIVER CAP)	033	HBI	S	97,235	58.54		n/a	3-May	3,889.40	0.0
SCOPUS FUND	041	HBI	B	10,000	58.49	n/a	3-May	400.00	0.0	
CR INTRINSIC/CHRIS C	041	HTZ	S	15,000	26.75	n/a	n/a	450.00	0.0	
SENATOR INVESTMENT GROUP	287	HUN	B	54,395	17.77	n/a	n/a	1,631.85	0.0	
BARROW HANLEY MEWHINNEY	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	47.00	n/a	17-Jun	500.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	SS	5,000	49.59	n/a	17-Jun	250.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	S	43,000	48.68	n/a	17-Jun	2,150.00	0.0	
SCOPUS FUND	041	IP	S	25,000	50.04	n/a	17-Jun	1,000.00	0.0	
LISTED ERR	099	IP	B	5,300	50.09	n/a	17-Jun	0.00	0.0	
LISTED ERR	099	IP	S	5,300	50.09	n/a	17-Jun	0.00	0.0	
S.A.C. CAPITAL	044	ITB	B	116,320	21.62	n/a	n/a	3,489.60	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	IYR	B	13,000	67.84	n/a	n/a	390.00	0.0
BALYASNY ASSET MGMT	044	KSS	C	75,000	53.36	n/a	18-Jun	3,750.00	0.0
SCOPUS FUND	041	LAD	S	5,000	58.69	n/a	n/a	200.00	0.0
FARALLON CAP MGMT	040	LCC	SS	134,720	18.68	n/a	18-Jun	4,041.60	0.0
J. GOLDMAN	028	LCC	S	30,000	18.50	n/a	18-Jun	1,200.00	0.0
TALON ASSET MGMT.	006	LCC	B	5,000	18.79	n/a	18-Jun	250.00	0.0
TIDE POINT CAPITAL	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	LEN	B	18,500	33.36	n/a	n/a	555.00	0.0
CR INTRINIC INVESTMENT	044	LPX	B	41,800	16.61	n/a	19-Jun	1,254.00	0.0
FIRST NY SEC/CHRIS	041	LUV	B	15,000	13.40	n/a	18-Jun	750.00	0.0
COLUMBUS CIRCLE	036	MDVN	S	8,400	55.44	n/a	n/a	336.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MSG	C	8,535	60.26	n/a	n/a	256.05	0.0
J. GOLDMAN	028	M	B	15,000	47.77	n/a	18-Jun	600.00	0.0
RIVERLOFT CAPITAL	044	NCT	B	25,000	5.70	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	NEE	S	600	83.96	n/a	n/a	30.00	0.0
IRIDIAN ASSET MGMT.	036	OCR	S	27,670	53.21	n/a	n/a	1,383.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAM ADVISORS LLC	041	PIR	B	103,365	23.37	n/a	n/a	3,100.95	0.0
PRIMECAP MGMT	084	QGEN	B	5,000	20.84	n/a	n/a	200.00	0.0
HIGHFIELDS CAP MGMT	030	RSH	S	169,323	2.72	n/a	n/a	1,693.23	0.0
DPB CAPITAL	029	SIRI	B	5,000	3.74	n/a	n/a	250.00	0.0
SCOPUS FUND	041	SSI	B	25,000	24.12	n/a	18-Jun	1,000.00	0.0
BLACKTHORN	047	STT	B	10,000	69.29	n/a	17-Jun	500.00	0.0
BESSEMER INVESTMENT	085	TEN	S	77,700	48.82	n/a	n/a	3,108.00	0.0
J. GOLDMAN	028	TGT	B	25,000	71.73	n/a	23-May	1,000.00	0.0
SANDLER CAPITAL	028	TJX	S	270,000	51.53	n/a	18-Jun	13,500.00	0.0
J. GOLDMAN	028	UA	B	85,000	68.66	n/a	19-Jun	3,400.00	0.0
SURVEYOR CAPITAL	251	UA	SS	40,929	69.00	n/a	19-Jun	1,637.16	0.0
SOROS	036	VLO	C	100,000	35.82	n/a	n/a	4,000.00	0.0
FARALLON CAP MGMT	040	VNTV	B	164,300	26.23	n/a	11-Jun	6,572.00	0.0
WINSLOW CAPITAL	030	WFC	S	965,000	43.61	n/a	6-Jun	28,950.00	0.0
S.A.C. CAPITAL	044	XLI	B	27,591	44.98	n/a	n/a	827.73	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,400	397.20	n/a	n/a	96.00	0.0

TOTAL (Trade Date):

130,782.39

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/24	CHARTER OAK (CHARBTIG)	033	PWE	B	40,000	12.32	n/a	n/a	2000.00 0.0
AO,CRT	07/24	CHARTER OAK (CHARBTIG)	033	PWE	B	40,000	12.32	n/a	n/a	1600.00 4.0

TOTAL (AO, CXL, CRT) :	-400.00
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TOTAL (Trade Date) :	130,782.39
TOTAL (AO, CXL, CRT) :	-400.00

TOTAL (RUN DATE) / NFS:	130,382.39
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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