



Daily Compliance Activity Report

Trade Date: 04/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AA	B	600	8.41	n/a	n/a	60.00	0.0
BESSEMER INVESTMENT	085	AIG	B	725,000	41.43	n/a	n/a	29,000.00	0.0
MACELLUM CAPITAL	086	ANN	B	38,000	28.43	n/a	n/a	1,140.00	0.0
ESSENCIAL CAPITAL	031	AXL	B	6,825	13.10	n/a	18-Apr	204.75	0.0
GEORGE WEISS	278	AXL	S	5,000	13.00	n/a	18-Apr	200.00	0.0
VERITION	028	AXL	S	10,000	13.24	n/a	18-Apr	300.00	0.0
PRIMECAP MGMT	084	CHRW	S	2,500	57.70	n/a	n/a	100.00	0.0
T. ROWE PRICE	243	CMG	B	7,200	362.92	n/a	19-Apr	288.00	0.0
GABELLI FUNDS	025	COG	B	27,000	66.58	n/a	24-Apr	1,350.00	0.0
LATEEF MGMT	033	CSCO	B	275	20.37	n/a	26-Feb	33.00	0.0
KAM ADVISORS LLC	041	DIS	S	73,900	61.68	n/a	n/a	2,217.00	0.0
LATEEF MGMT	033	DVN	B	200	53.43	n/a	18-Apr	34.00	0.0
VERITION	028	EMN	S	2,500	71.73	n/a	n/a	75.00	0.0
COLUMBUS CIRCLE	036	ETH	B	15,243	30.30	n/a	n/a	609.72	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	54,700	18.18	n/a	24-Apr	1,641.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	FITB	B	97,600	16.66	n/a	n/a	3,904.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	13.23	n/a	24-Apr	3,000.00	0.0
OZ MGMT	040	F	SS	250,000	13.17	n/a	24-Apr	7,500.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	30.04	n/a	22-Apr	1,000.00	0.0
ESSENCIAL CAPITAL	031	GM	B	10,000	30.55	n/a	22-Apr	300.00	0.0
SPARTAN	093	GM	B	20,000	30.45	n/a	22-Apr	600.00	0.0
TUDOR INVESTORS	028	GM	S	10,000	30.07	n/a	22-Apr	3.00	0.0
CR INTRINSIC/CHRIS C	041	GTI	SS	25,000	7.36	n/a	n/a	750.00	0.0
PERRY PARTNERS	085	HES	B	200,000	70.26	n/a	n/a	10,000.00	0.0
ZWEIG FUNDS	006	HOG	B	15,000	52.52	n/a	n/a	750.00	0.0
NEW JERSEY DIV OF INV.	030	HSH	B	20,000	35.34	n/a	n/a	800.00	0.0
CAISSE DEPOT PLACEMENT Q	257	INFY	SS	25,000	40.99	n/a	n/a	750.00	0.0
TUDOR INVESTORS	028	IP	B	5,000	48.40	n/a	23-Apr	1.50	0.0
TUDOR INVESTORS	028	JCI	S	10,000	33.94	n/a	23-Apr	3.00	0.0
COUGAR TRADING	044	JNY	B	10,000	13.72	n/a	24-Apr	500.00	0.0
FIRST NEW YORK	086	JNY	SS	10,000	13.31	n/a	24-Apr	400.00	0.0
EPOCH INV MGMT	030	KS	B	22,800	28.85	n/a	n/a	684.00	0.0
LATEEF MGMT	033	K	S	150	65.42	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	LAD	S	20,000	47.27	n/a	n/a	800.00	0.0
TUDOR INVESTORS	028	LEN	S	5,000	41.82	n/a	n/a	1.50	0.0
BALYASNY ASSET MGMT	044	LOW	C	46,843	38.02	n/a	n/a	2,342.15	0.0
NUVEEN - US BANCORP		030	LZB	B	23,056	17.85	n/a	n/a	1,037.53 0.0
ALLIANZ/NICOLAS APPELATE	084	MSFT	B	49,900	31.73		n/a	n/a	998.00 0.0
TUDOR INVESTORS	028	MWV	S	4,700	35.02	n/a	17-Apr	1.41	0.0
BALYASNY ASSET MGMT	044	M	B	30,000	43.89	n/a	8-Apr	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	M	B	26,200	43.95	n/a	8-Apr	1,048.00	0.0
CRAMER ROSENTHAL	070	NKE	B	125,000	61.52	n/a	24-Apr	4,375.00	0.0
BRANDWINE	028	OXY	B	250,000	83.19	n/a	n/a	10,000.00	0.0
BRONSON POINT	036	OXY	S	12,500	82.95	n/a	n/a	375.00	0.0
SIGMA CAP BOBBY	044	PETM	B	25,000	67.28	n/a	n/a	750.00	0.0
LATEEF MGMT	033	PFE	S	250	30.57	n/a	n/a	37.50	0.0
P.SCHOENFELD ASSET MGMT LLC	041	PHM	C	89,000	19.24	n/a	n/a	3,560.00	0.0
STANDARD PACIFIC CAPITAL	084	PHM	S	294,000	19.32	n/a	n/a	14,700.00	0.0
NEUBERGER BERMAN	036	POOL	B	10,800	48.77	n/a	n/a	432.00	0.0
TUDOR INVESTORS	028	RFP	B	5,000	14.24	n/a	n/a	1.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Jack Chernus		SBUX	B	400	59.8000	n/a	22-Apr	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	S	1,500	7.72		n/a	n/a	45.00 0.0
Õ Jack Chernus		STT	S	10	1.6000	n/a	19-Apr	0.00	0.0
VERITION	028	TOL	B	5,000	33.70	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	UTX	B	5,000	92.06	n/a	n/a	1.50	0.0
MERRILL ASSET/BLACKROCK	297	WAFD	S	6,430	16.89	n/a	n/a	257.20	0.0
CR INTRINIC INVESTMENT	044	WFT	SS	5,000	12.82	n/a	n/a	150.00	0.0
JET CAPITAL/CHRIS	041	XLE	C	40,000	77.36	n/a	n/a	1,200.00	0.0
PERRY PARTNERS	085	XLE	SS	72,800	77.41	n/a	n/a	3,640.00	0.0
SANDLER CAPITAL	028	XL	B	175,000	31.37	n/a	n/a	8,750.00	0.0
PERRY PARTNERS	085	XOP	SS	98,000	57.09	n/a	n/a	4,900.00	0.0
TOTAL (Trade Date) :							129,281.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/23	BESSEMER INVESTMENT (BESSMAIN)	097	CEF	B	6,030	16.51	n/a	n/a	241.20 0.0
AO,CRT	04/23	LATEEF MGMT (LATE5201)	033	CTB	B	300	23.61	n/a	n/a	36.00 0.0
AO,CXL	04/23	LATEEF MGMT (LATE50021)	033	CTB	B	300	23.61	n/a	n/a	36.00 0.0
AO,CXL	04/22	PROSPECTOR PARTNERS LLC (PROSMERR)	036	CVC	B	700	14.33	n/a	n/a	28.00 0.0
AO,CRT	04/22	PROSPECTOR PARTNERS LLC (PROSMERR)	036	CVC	B	700	14.33	n/a	n/a	28.00 4.0
AO,CXL	04/23	CHARTER OAK (CHARBTIG)	033	IWM	B	33,000	92.05	n/a	n/a	1650.00 0.0
AO,	04/23	CHARTER OAK (CHARBTIG)	033	IWM	B	33,000	92.05	n/a	n/a	660.00 0.0
AO,CXL	04/23	MFP INVESTORS (MFPIGS)	085	JCP	S	45,000	15.58	n/a	22-Apr	1800.00 0.0
AO,CRT	04/23	MFP INVESTORS (MFPIGS)	085	JCP	S	45,000	15.58	n/a	22-Apr	2250.00 0.0
AO,CRT	04/23	BESSEMER INVESTMENT (BESSMAIN)	097	UBS	S	2,100	16.21	n/a	n/a	84.00 0.0
AO,CXL	04/23	CHARTER OAK (CHARBTIG)	033	VTI	B	38,000	81.15	n/a	n/a	1900.00 0.0
AO,	04/23	CHARTER OAK (CHARBTIG)	033	VTI	B	38,000	81.15	n/a	n/a	760.00 0.0
TOTAL (AO, CXL, CRT) :										-1,354.80

TOTAL (Trade Date):	129,281.26
TOTAL (AO, CXL, CRT):	-1,354.80

TOTAL (RUN DATE) / NFS:

127,926.46

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