



## Daily Compliance Activity Report

Trade Date: 05/09/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ADS	B	18,553	176.62	n/a	n/a	742.12	0.0
KEY ASSET MGMT/VICTORY	220	ALTR	B	201,510	33.01	n/a	n/a	8,060.40	0.0
NEUBERGER BERMAN	036	ATR	S	9,250	56.16	n/a	n/a	370.00	0.0
CASTLE ARK	031	CAT	B	90,360	90.50	n/a	11-Jul	3,614.40	0.0
NEUBERGER BERMAN	036	COG	S	59,650	67.59	n/a	2-May	2,386.00	0.0
RK CAPTIAL MGMT	046	CPTS	S	25,800	30.97	n/a	n/a	1,290.00	0.0
SIGMA CAP BOBBY	044	DPZ	S	10,000	57.96	n/a	30-Apr	300.00	0.0
BRONSON POINT	036	DTV	SS	25,000	62.96	n/a	n/a	750.00	0.0
KEY ASSET MGMT/VICTORY	220	DTV	S	146,140	62.92	n/a	n/a	5,845.60	0.0
T. ROWE PRICE	243	DWRE	S	20,000	29.61	n/a	n/a	800.00	0.0
PARKWEST	084	ELNK	SS	138,800	5.86	n/a	n/a	4,164.00	0.0
ROTHSCHILD ASSET	040	FAF	B	44,358	26.68	n/a	n/a	1,774.32	0.0
COOPER CREEK PART	028	FINL	S	10,000	21.61	n/a	8-May	400.00	0.0
BRANDWINE	028	FITB	S	98,200	17.68	n/a	n/a	3,928.00	0.0
WAGONHOUND/NICOLAS	033	FOR	S	60,324	23.74	n/a	9-May	2,412.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	F	SS	11,000	14.23	n/a	9-May	330.00	0.0
CR INTRINSIC/CHRIS C	041	GT	SS	25,000	12.96	n/a	n/a	750.00	0.0
TUDOR INVESTORS	028	IR	B	10,000	55.81	n/a	9-May	3.00	0.0
BTG PACTUAL	040	JBLU	B	15,000	6.80	n/a	26-Apr	450.00	0.0
COUGAR TRADING	044	JNY	B	8,800	13.90	n/a	2-May	440.00	0.0
TALON ASSET MGMT.	006	LCC	B	10,000	17.55	n/a	24-Apr	500.00	0.0
WOOSTER CAPITAL	044	LEA	S	20,000	60.00	n/a	29-Apr	800.00	0.0
COBALT	041	LEN	B	100,000	42.67	n/a	n/a	4,000.00	0.0
<b>STERLING CAPITAL MGMT.</b>	<b>093</b>	<b>LIFE</b>	<b>S</b>	<b>70,000</b>	<b>73.55</b>	<b>n/a</b>	<b>n/a</b>	<b>3,150.01</b>	<b>0.0</b>
NEUBERGER BERMAN	036	LNC	B	37,457	34.56	n/a	n/a	1,498.28	0.0
COOPER CREEK PART	028	LPX	SS	10,000	19.60	n/a	8-May	400.00	0.0
ADAGE CAPITAL MGMT	030	LTD	S	12,937	52.75	n/a	n/a	388.11	0.0
NEUBERGER BERMAN	036	LUFK	S	15,000	88.35	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	LXU	S	8,358	33.31	n/a	n/a	334.32	0.0
NORTHWESTERN MUTUAL LIFE	047	MS	B	215,570	23.49	n/a	6-May	8,622.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	MWV	B	35,000	35.14	n/a	30-Apr	1,750.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	MWV	B	25,000	35.08	n/a	30-Apr	500.00	0.0
KEY ASSET MGMT/VICTORY	220	NSC	S	71,070	78.79	n/a	n/a	2,842.80	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	NUAN	B	5,000	19.00	n/a	n/a	100.00	0.0
ROSEDALE CAPITAL	046	NUAN	S	30,000	18.99	n/a	n/a	1,200.00	0.0
KINGDON ASSET MGMT	041	PEP	B	20,000	83.13	n/a	n/a	800.00	0.0
ADAGE CAPITAL MGMT	030	SMG	SS	95,000	47.53	n/a	7-May	2,850.00	0.0
S.A.C. CAPITAL	044	SMG	B	40,000	47.56	n/a	7-May	1,200.00	0.0
HALCYON LLC	041	S	B	150,000	7.36	n/a	n/a	600.00	0.0
SCOPUS FUND	041	TRW	S	25,000	61.37	n/a	n/a	1,000.00	0.0
PIMCO	084	UAL	S	100,000	32.77	n/a	26-Apr	4,000.00	0.0
LOMAS CAPITAL	040	ULTA	B	7,700	90.33	n/a	n/a	231.00	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	50,000	43.44	n/a	n/a	1,500.00	0.0
NEUBERGER BERMAN	036	VPFG	B	16,244	19.45	n/a	n/a	649.76	0.0
TUDOR INVESTORS	028	WY	B	20,000	31.58	n/a	8-May	6.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	25,000	75.62	n/a	n/a	750.00	0.0

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**TOTAL (Trade Date):**

**79,083.88**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/08	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU)	044		B	286,500	5.20	n/a	n/a	11460.00 0.0
AO,CRT	05/08	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU)	044	NCTWI	B	286,500	0.00	n/a	n/a	5730.00 2.0
AO,	05/08	NOMURA CAPITAL (NOMUNOMATT)	029	NTK	S	5,000	71.76	n/a	n/a	150.00 0.0
AO,CXL	05/08	NOMURA CAPITAL (NOMUBSMAN)	029	NTK	S	5,000	71.76	n/a	n/a	200.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-5,780.00</b>

TOTAL (Trade Date) :	79,083.88
TOTAL (AO, CXL, CRT) :	-5,780.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>73,303.88</b>
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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