



## Daily Compliance Activity Report

Trade Date: 06/06/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	50,000	4.04	n/a	n/a	1,500.00	0.0
VISIUM/BALY BOBBY	044	AA	SS	50,000	8.24	n/a	n/a	2,500.00	0.0
LONG OAR GLOBAL INV	040	AKS	B	50,000	3.36	n/a	n/a	2,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANN	B	25,000	31.59	n/a	n/a	750.00	0.0
VISIUM/BALY BOBBY	044	ANR	SS	50,000	6.67	n/a	n/a	2,500.00	0.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	13.00	n/a	6-Jun	2,500.00	0.0
INTERVAL PARTNERS	033	BIG	B	20,000	33.45	n/a	n/a	600.00	0.0
TOCQUEVILLE	046	CKP	S	29,600	14.12	n/a	n/a	1,480.00	0.0
SANDLER O'NEILL ASSET	031	CMA	S	10,000	37.84	n/a	n/a	500.00	0.0
PRIMECAP MGMT	084	CRL	B	7,500	41.45	n/a	n/a	300.00	0.0
ACK ASSET	028	CSX	B	65,000	24.48	n/a	n/a	1,950.00	0.0
MERRILL ASSET/BLACKROCK	085	CWH	B	6,600	20.34	n/a	n/a	264.00	0.0
RIDGECREST INV MGMT LLC	028	DLTR	SS	5,000	48.65	n/a	4-Jun	200.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DVN	S	10,000	56.55	n/a	6-Jun	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	085	EDD	B	45,000	15.60	n/a	n/a	1,800.00	0.0
MACELLUM CAPITAL	086	EXPR	SS	25,000	21.22	n/a	n/a	750.00	0.0
<b>LISTED ERR</b>	<b>097</b>	<b>EXPR</b>	<b>SS</b>	<b>1,500</b>	<b>21.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	21.67	n/a	9-May	400.00	0.0
MACELLUM CAPITAL	086	FRAN	B	85,000	27.38	n/a	n/a	2,550.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	FRAN	B	200,600	27.36		n/a	8,024.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	FSL	S	29,882	15.53	n/a	n/a	597.64	0.0
LEVIN CAPITAL STRATEGIES	041	F	C	40,000	15.38	n/a	6-Jun	1,200.00	0.0
MACELLUM CAPITAL	086	GES	SS	25,000	31.24	n/a	31-May	750.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	C	15,000	34.41	n/a	6-Jun	450.00	0.0
SCOPUS FUND	041	GM	B	50,000	34.16	n/a	6-Jun	2,000.00	0.0
PATTEN & PATTEN	025	GOOG	B	20	861.32	n/a	n/a	1.00	0.0
CR INTRINIC INVESTMENT	044	GT	SS	10,000	14.59	n/a	n/a	300.00	0.0
SANDLER O'NEILL ASSET	031	HBAN	B	50,000	7.54	n/a	n/a	2,500.00	0.0
COHE & STEERS	041	HST	B	9,190	17.04	n/a	13-Jun	275.70	0.0
CHARTERBRIDGE CAPITAL	025	INVN	SS	225,000	12.79	n/a	n/a	6,750.00	0.0
VISIUM/BALY BOBBY	044	IP	C	30,000	44.63	n/a	5-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
IONIC CAPITAL MANAGEMENT	041	IWM	B	10,000	96.82	n/a	n/a	300.00	0.0	
SCOPUS FUND	041	JCP	B	24,600	18.44	n/a	22-May	984.00	0.0	
SANDLER O'NEILL ASSET	031	KEY	S	25,000	10.50	n/a	n/a	1,250.00	0.0	
S.A.C. CAPITAL	044	KMX	S	50,000	45.93	n/a	n/a	1,500.00	0.0	
SCOPUS FUND	041	LAD	B	10,000	52.22	n/a	n/a	400.00	0.0	
STELLIAM INV ADV	086	LCC	B	25,000	16.07	n/a	5-Jun	1,000.00	0.0	
STRONG/MARK GRONET	030	LCC	B	17,000	16.37	n/a	5-Jun	680.00	0.0	
J. GOLDMAN	028	MMM	SS	14,000	108.51	n/a	n/a	560.00	0.0	
SANDLER O'NEILL ASSET	031	MS	S	25,000	24.81	n/a	6-Jun	1,250.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	S	10,000	7.68		n/a	n/a	300.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.80	n/a	13-May	400.00	0.0	
SANDLER O'NEILL ASSET	031	PJC	B	300	33.86	n/a	n/a	15.00	0.0	
BAIRD INVESTMENT	047	PVH	B	16,996	110.84	n/a	22-Apr	849.80	0.0	
COHE & STEERS	041	SHO	S	14,984	11.54	n/a	n/a	449.52	0.0	
BASSWOOD PARTNERS	267	SNV	B	150,000	2.66	n/a	n/a	4,500.00	0.0	
LAKEWOOD CAPITAL MGMT	085	STSI	C	25,000	1.47	n/a	n/a	750.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	TGT	B	22,000	69.88	n/a	23-May	660.00	0.0
COHE & STEERS	041	TOL	B	9,857	33.14	n/a	n/a	394.28	0.0
COHE & STEERS	041	TPH	S	19,389	16.09	n/a	n/a	581.67	0.0
WOOSTER CAPITAL	044	TRW	B	5,000	61.66	n/a	n/a	200.00	0.0
STELLIAM INV ADV	086	TTWO	B	37,000	15.92	n/a	n/a	1,480.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	8,400	19.56	n/a	n/a	252.00	0.0
LOMAS CAPITAL	040	WLK	SS	15,000	92.30	n/a	n/a	450.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>66,398.61</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/06	LISTED ERR (LISTED ERR)	097	EXPR	SS	1,500	21.23	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	66,398.61
TOTAL (AO, CXL, CRT) :	0.00
TOTAL (RUN DATE) / NFS :	66,398.61

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