



Daily Compliance Activity Report

Trade Date: 04/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	AIG	S	10,000	38.54	n/a	n/a	300.00	0.0
AMBER CAPITAL	046	ANV	SS	291,000	10.49	n/a	n/a	11,640.00	4.0
OSKIE CAPITAL MGMT	224	BAC	B	45,000	11.33	n/a	18-Apr	2,250.00	5.0
SANDLER O'NEILL ASSET	031	BAC	B	50,000	11.33	n/a	18-Apr	2,500.00	5.0
TALPION LLC	040	BA	SS	3,000	86.07	n/a	11-Apr	90.00	0.0
SANDLER O'NEILL ASSET	031	BK	SS	25,000	27.16	n/a	17-Apr	1,250.00	5.0
ROYAL CAPITAL MGMT	070	BSX	S	100,000	7.18	n/a	n/a	4,000.00	0.0
SOROS	036	CA	B	130,169	24.32	n/a	n/a	5,206.76	0.0
COBALT	041	CE	SS	100,000	41.88	n/a	20-May	4,000.00	0.0
SENATOR INVESTMENT GROUP	036	CE	B	600,000	41.96	n/a	20-May	18,000.00	3.0
FIRST NEW YORK	086	CLWR	B	20,000	3.30	n/a	n/a	800.00	4.0
BASSWOOD PARTNERS	267	COF	S	98,564	52.89	n/a	19-Apr	3,942.56	0.0
NEWLAND CAPITAL MGT	025	COL	B	5,000	59.03	n/a	11-Apr	200.00	4.0
HARVEST MGMT (JMP)	029	COST	SS	8,000	103.65	n/a	n/a	320.00	4.0
PRIMECAP MGMT	084	CRL	B	2,000	41.87	n/a	n/a	80.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	041	CTL	B	10,000	37.07	n/a	n/a	400.00	4.0
CAISSE DEPOT PLACEMENT Q	257	CY	B	30,000	10.00	n/a	n/a	900.00	3.0
RIDGECREST INV MGMT LLC	028	C	B	5,000	45.30	n/a	16-Apr	200.00	4.0
TUDOR INVESTORS	028	DAL	B	20,000	15.28	n/a	15-Apr	600.00	3.0
BRANDWINE	028	DDS	B	25,951	78.73	n/a	n/a	1,038.04	0.0
SENATOR INVESTMENT GROUP	036	DD	SS	250,000	48.50	n/a	n/a	7,500.00	3.0
SENATOR INVESTMENT GROUP	036	DOV	B	35,000	69.14	n/a	n/a	1,050.00	3.0
CORNERSTONE	030	EBAY	B	125,000	53.44	n/a	n/a	3,750.00	0.0
CAISSE DEPOT PLACEMENT Q	257	FCS	SS	150,000	13.18	n/a	n/a	4,500.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	FDO	SS	6,100	61.43		n/a 10-Apr	244.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	14,625	18.22	n/a	17-Apr	438.75	0.0
LOMAS CAPITAL	040	FL	S	17,700	31.80	n/a	17-Apr	531.00	3.0
CASTLEROCK	040	F	SS	33,012	12.72	n/a	18-Apr	1,320.48	4.0
HOPLITE MGMT	025	F	C	102,697	12.82	n/a	18-Apr	4,107.88	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	50,000	12.72	n/a	18-Apr	1,500.00	3.0
LOCUST WOOD CAPITAL MGMT	044	GM	S	173,500	28.86	n/a	18-Apr	6,940.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	GM	S	50,000	28.95	n/a	18-Apr	2,000.00	4.0
S.A.C. CAPITAL	044	GPS	S	5,700	37.21	n/a	n/a	171.00	3.0
TUDOR INVESTORS	028	HON	B	5,000	71.46	n/a	25-Jan	150.00	3.0
MATRIX ASSET ADV.	091	HPQ	B	3,000	20.11	n/a	n/a	120.00	4.0
PRIMECAP MGMT	084	HPQ	B	15,000	20.29	n/a	n/a	600.00	0.0
COLUMBUS CIRCLE	036	IMPV	B	2,702	38.46	n/a	n/a	108.08	0.0
PRIMECAP MGMT	084	JBL	B	3,100	16.84	n/a	n/a	124.00	0.0
COUGAR TRADING	044	JCP	B	25,000	15.02	n/a	18-Apr	1,250.00	5.0
COUGAR TRADING	044	JCP	S	25,000	14.90	n/a	18-Apr	1,250.00	5.0
TALPION LLC	040	JWN	SS	2,245	55.13	n/a	8-Apr	67.35	0.0
LEVIN CAPITAL STRATEGIES	041	KORS	SS	5,000	53.39	n/a	12-Mar	150.00	0.0
STRONG/MARK GRONET	030	LCC	B	134,850	16.07	n/a	16-Apr	5,394.00	0.0
TUDOR INVESTORS	028	LEN	B	10,000	37.10	n/a	n/a	300.00	3.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	150,000	37.31	n/a	n/a	4,500.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	S	1,500	3.21	n/a	n/a	30.00	2.0
EPOCH INV MGMT	030	MTSC	S	6,500	54.23	n/a	n/a	195.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	33.90	n/a	17-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROVIDENCE EQUITY CAP. MKTS.040		NIHD	S	30,000	7.45	n/a	n/a	900.00	3.0
TALPION LLC	040	NPO	B	800	47.79	n/a	n/a	24.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	5,000	28.35	n/a	8-Apr	200.00	4.0
JET CAPITAL/CHRIS	041	NRG	S	50,000	26.61	n/a	n/a	1,500.00	0.0
INVESCO	031	PEP	S	135,216	82.85	n/a	n/a	5,408.64	0.0
TALPION LLC	040	PNRA	C	1,000	179.49	n/a	17-Apr	30.00	0.0
TUDOR INVESTORS	028	PNR	B	10,000	50.90	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	PPG	B	5,000	140.40	n/a	n/a	150.00	3.0
CAERUS GLOBAL	041	PVH	B	7,000	104.87	n/a	1-Apr	280.00	4.0
PRIMECAP MGMT	084	QGEN	B	5,000	19.84	n/a	n/a	200.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			QTM	S	201,753	1.20	n/a	n/a	4,035.06 0.0
S.A.C. CAPITAL	044	SBUX	B	20,000	58.18	n/a	15-Apr	600.00	3.0
DPB CAPITAL	029	SIRI	S	5,000	2.99	n/a	n/a	250.00	5.0
LISTED ERR	099	SIRI	B	5,000	2.99	n/a	n/a	0.00	0.0
LISTED ERR	099	SIRI	S	5,000	2.99	n/a	n/a	0.00	0.0
TALPION LLC	040	SIX	B	1,148	70.10	n/a	n/a	34.44	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	SLM	B	25,000	19.93	n/a	17-Apr	1,000.00	4.0
TALPION LLC	040	SONC	B	2,400	12.48	n/a	n/a	72.00	0.0
PROSPECTOR PARTNERS LLC	036	TDS	S	5,000	21.43	n/a	n/a	200.00	4.0
S.A.C. CAPITAL	044	TGT	SS	25,700	68.35	n/a	18-Apr	771.00	3.0
TALPION LLC	040	ULTA	B	1,500	82.89	n/a	n/a	45.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VZ	S	24,700	51.19	n/a	n/a	790.40	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	28.95	n/a	17-Apr	750.00	5.0
SENATOR INVESTMENT GROUP	036	XLI	SS	300,000	40.16	n/a	n/a	9,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	XOM	B	19,700	86.42	n/a	n/a	591.00	0.0
TOTAL (Trade Date) :								133,890.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/18	OSKIE CAPITAL MGMT (OSKIGSPB)	224	BAC	B	45,000	11.33	n/a	18-Apr	2250.00 5.0
AO,	04/15	COHE & STEERS (COHECSI)	041	DLR	B	10,129	70.70	n/a	n/a	405.16 0.0
AO,CXL	04/15	COHE & STEERS (COHECSIR)	041	DLR	B	10,129	70.70	n/a	n/a	405.16 0.0
CRT	04/18	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU)	044	GM	S	173,500	28.86	n/a	18-Apr	6940.00 4.0
AO,CRT	04/17	PERRY PARTNERS (PERRJPM)	085	JCP	B	250,000	14.79	n/a	18-Apr	10000.00 4.0
AO,CXL	04/17	PERRY PARTNERS (PERRGOLDMA)	085	JCP	B	250,000	14.79	n/a	18-Apr	10000.00 0.0

TOTAL (AO, CXL, CRT) :**9,190.00**

TOTAL (Trade Date) :**133,890.44****TOTAL (AO, CXL, CRT) :****9,190.00**

TOTAL (RUN DATE) / NFS:**143,080.44**

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