



Daily Compliance Activity Report

Trade Date: 05/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	37.02	n/a	n/a	355.20	0.0
HOPLITE MGMT	025	ADSK	S	40,962	39.35	n/a	n/a	1,638.48	0.0
LEVIN CAPITAL STRATEGIES	041	ADT	B	21,800	41.41	n/a	n/a	654.00	0.0
S.A.C. CAPITAL	044	AEO	SS	50,000	19.00	n/a	2-Dec	1,500.00	0.0
FOCUSED INVESTORS	084	AET	B	200	58.02	n/a	n/a	8.00	0.0
PAULSON & CO INC	041	AGN	C	73,515	99.55	n/a	1-May	2,205.45	0.0
ROSEDALE CAPITAL	046	AMTD	B	15,000	19.35	n/a	n/a	600.00	0.0
STELLIAM INV ADV	086	ARAY	B	49,000	4.30	n/a	n/a	980.00	0.0
GEORGE WEISS	278	AXL	S	10,000	13.48	n/a	30-Apr	400.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	20,000	13.38	n/a	30-Apr	800.00	0.0
FOCUSED INVESTORS	084	AXP	B	600	68.75	n/a	26-Apr	24.00	0.0
FOCUSED INVESTORS	084	BDX	B	200	94.81	n/a	n/a	8.00	0.0
CAPITAL GROWTH MGMT.	241	BEE	S	200,000	8.03	n/a	n/a	6,000.00	0.0
SAGE ASSET MGMT	025	BZ	B	35,000	7.63	n/a	n/a	1,750.00	0.0
STELLIAM INV ADV	086	CAH	S	20,000	44.28	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	CGI	B	14,100	16.45	n/a	n/a	423.00	0.0
FOCUSED INVESTORS	084	CVS	B	500	58.85	n/a	n/a	20.00	0.0
OSKIE CAPITAL MGMT	224	CWH	B	40,000	22.10	n/a	n/a	2,000.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.63	n/a	n/a	400.00	0.0
CAPITAL GROWTH MGMT.	241	DAL	B	50,000	16.81	n/a	24-Apr	2,000.00	0.0
LATEEF MGMT	033	DAL	S	850	16.89	n/a	24-Apr	90.00	0.0
SIGMA CAP BOBBY	044	DRI	B	25,000	51.58	n/a	15-Apr	750.00	0.0
CR INTRINIC INVESTMENT	044	FDX	SS	10,000	92.38	n/a	n/a	350.00	0.0
CR INTRINIC INVESTMENT	044	FL	S	10,000	34.73	n/a	1-May	350.00	0.0
MACELLUM CAPITAL	086	FL	B	60,000	34.77	n/a	1-May	1,800.00	0.0
CAERUS GLOBAL	041	GM	B	30,000	31.01	n/a	1-May	1,200.00	0.0
CAERUS GLOBAL	041	GM	S	6,900	30.80	n/a	1-May	276.00	0.0
OZ MGMT	040	GM	B	100,000	30.19	n/a	1-May	3,000.00	0.0
FOCUSED INVESTORS	084	GS	B	200	142.85	n/a	16-Apr	8.00	0.0
CR INTRINSIC/CHRIS C	041	GTLS	SS	25,000	83.54	n/a	n/a	875.00	0.0
CAMBIAR CAP	046	HBI	S	18,400	49.60	n/a	24-Apr	736.00	0.0
LOMAS CAPITAL	040	HD	B	22,100	73.33	n/a	n/a	663.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAULSON & CO INC	041	HNZ	S	100,000	72.44	n/a	n/a	3,000.00	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	32.43	n/a	1-May	400.00	0.0
FOCUSED INVESTORS	084	IBM	B	200	200.79	n/a	n/a	8.00	0.0
NEWLAND CAPITAL MGT	025	IR	SS	5,000	52.62	n/a	27-Mar	200.00	0.0
MERRILL ASSET/BLACKROCK	297	JLL	B	6,600	100.03	n/a	n/a	264.00	0.0
FOCUSED INVESTORS	084	JNJ	B	400	84.94	n/a	n/a	16.00	0.0
FOCUSED INVESTORS	084	JPM	B	500	48.03	n/a	15-Apr	20.00	0.0
GATOR CAPITAL MGMT LLC	093	KKR	B	3,475	20.83	n/a	n/a	104.25	0.0
FOCUSED INVESTORS	084	KO	B	800	42.36	n/a	1-May	32.00	0.0
CYRUS CAPITAL	025	LPX	SS	20,000	17.70	n/a	1-May	600.00	0.0
FOCUSED INVESTORS	084	MCD	B	400	102.12	n/a	22-Apr	16.00	0.0
EPOCH INV MGMT	030	MLHR	B	28,434	24.33	n/a	n/a	853.02	0.0
PROSPECTOR PARTNERS LLC	036	MMC	B	10,000	37.90	n/a	n/a	300.00	0.0
FOCUSED INVESTORS	084	MMM	B	200	104.66	n/a	n/a	8.00	0.0
FOCUSED INVESTORS	084	MSFT	B	1,100	32.71	n/a	n/a	44.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOCUSED INVESTORS	084	MS	B	600	21.78	n/a	18-Apr	24.00	0.0
GATOR CAPITAL MGMT LLC	093	MS	B	2,360	21.70	n/a	18-Apr	70.80	0.0
CORVEX CAPITAL	041	MWV	B	122,000	33.63	n/a	30-Apr	3,660.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	33.97	n/a	30-Apr	750.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040		NIHD	S	11,838	8.91	n/a	n/a	355.14	0.0
FOCUSED INVESTORS	084	NKE	B	300	64.04	n/a	1-May	12.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		NUAN	B	73,615	18.94		n/a	1,472.30	0.0
BRIGADE CAPITAL MGMT	029	ORIG	B	30,000	16.23	n/a	n/a	900.00	0.0
COLUMBUS CIRCLE	036	PANW	S	5,704	52.85	n/a	n/a	228.16	0.0
FOCUSED INVESTORS	084	PEP	B	500	82.57	n/a	n/a	20.00	0.0
SUFFOLK CAPITAL MGMT	040	PEP	S	176,300	82.60	n/a	n/a	7,052.00	0.0
FOCUSED INVESTORS	084	PFE	B	700	29.29	n/a	n/a	28.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PFE	B	104,707	29.01		n/a	3,350.62	0.0
FOCUSED INVESTORS	084	PG	B	300	77.40	n/a	1-May	12.00	0.0
CAPITAL GROWTH MGMT.	241	PHM	B	50,000	20.77	n/a	n/a	2,500.00	0.0
COLUMBUS CIRCLE	036	RLGY	S	3,675	48.39	n/a	n/a	147.00	0.0
EPOCH INV MGMT	030	RYL	S	63,813	43.98	n/a	n/a	1,914.39	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	SCHW	B	10,000	16.26	n/a	n/a	400.00	0.0
CRAMER ROSENTHAL	070	SJI	B	10,928	61.39	n/a	n/a	437.12	0.0
EPOCH INV MGMT	030	SSD	B	47,830	28.04	n/a	n/a	1,434.90	0.0
FOCUSED INVESTORS	084	TGT	B	400	70.65	n/a	18-Apr	16.00	0.0
COHE & STEERS	041	TPH	B	7,000	18.29	n/a	n/a	210.00	0.0
PIMCO	084	UAL	S	110,000	31.78	n/a	26-Apr	2,200.00	0.0
FOCUSED INVESTORS	084	UNH	B	300	59.60	n/a	n/a	12.00	0.0
SAGE ASSET MGMT	025	VLO	S	6,900	38.84	n/a	n/a	345.00	0.0
FRONTIER	029	WBMD	B	50,000	23.73	n/a	n/a	2,000.00	0.0
FOCUSED INVESTORS	084	WFC	B	600	37.84	n/a	15-Apr	24.00	0.0
FOCUSED INVESTORS	084	WLP	B	300	72.63	n/a	n/a	12.00	0.0
FOCUSED INVESTORS	084	WMT	B	700	78.36	n/a	22-Feb	28.00	0.0
FOCUSED INVESTORS	084	ZMH	B	200	76.10	n/a	n/a	8.00	0.0
TOTAL (Trade Date) :								68,152.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/30	CR INTRINIC INVESTMENT (CRINCITI)	044	GD	B	15,000	73.92	n/a	5-Apr	525.00 0.0
AO,CRT	04/30	CR INTRINIC INVESTMENT (CRINCITI)	044	GD	B	15,000	73.92	n/a	5-Apr	450.00 3.0
AO,CXL	04/30	CR INTRINIC INVESTMENT (CRINJPM)	044	LULU	SS	10,000	75.40	n/a	1-May	350.00 0.0
AO,CRT	04/30	CR INTRINIC INVESTMENT (CRINJPM)	044	LULU	SS	10,000	75.40	n/a	1-May	300.00 3.0
AO,	04/30	NOMURA CAPITAL (NOMUEB6J)	029	MX	S	667	16.02	n/a	n/a	20.01 0.0
AO,	04/30	NOMURA CAPITAL (NOMUSPH)	029	MX	S	286	16.02	n/a	n/a	8.58 0.0
AO,	04/30	NOMURA CAPITAL (NOMUMCERS)	029	MX	S	286	16.02	n/a	n/a	8.58 0.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	MX	S	1,239	16.02	n/a	n/a	37.17 0.0
AO,	04/30	NOMURA CAPITAL (NOMUL3)	029	QUAD	S	1	21.01	n/a	n/a	0.03 0.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	QUAD	S	1	21.01	n/a	n/a	0.03 0.0
AO,	04/30	NOMURA CAPITAL (NOMUGMJA)	029	RFP	S	1,306	14.07	n/a	n/a	39.18 0.0
AO,	04/30	NOMURA CAPITAL (NOMUCOSMOS)	029	RFP	S	56	14.07	n/a	n/a	1.68 0.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	RFP	S	1,362	14.07	n/a	n/a	40.86 0.0
AO,	04/30	NOMURA CAPITAL (NOMULASERS)	029	SIX	S	6,778	73.02	n/a	n/a	203.34 0.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	SIX	S	6,778	73.02	n/a	n/a	203.34 0.0
AO,CXL	04/30	LISTED ERR (LISTED ERR)	099	SSI	B	200	27.21	n/a	11-Apr	10.00 0.0
AO,	04/30	LISTED ERR (LISTED ERR)	099	SSI	B	200	27.21	n/a	11-Apr	0.00 0.0
AO,	04/30	NOMURA CAPITAL (NOMUGMJA)	029	VC	S	9,887	57.49	n/a	n/a	296.61 0.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	VC	S	9,887	57.49	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										161.61

TOTAL (Trade Date):	68,152.83
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TOTAL (RUN DATE) / NFS:	68,314.44
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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