



Daily Compliance Activity Report

Trade Date: 04/16/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SMITH MGMT/ALDEN GLOBAL	029	AAMRQ	B	300,000	3.93		n/a	n/a	9,000.00 3.0
AELTUS/ING INVESTMENT MGT	215	ACOR	S	67,800	39.87	n/a	n/a	2,034.00	0.0
MERRILL ASSET/BLACKROCK	297	AJG	B	20,500	42.14	n/a	n/a	820.00	0.0
PARAMETER CAPITAL MGMT LLC	044	ALL	B	20,000	49.44	n/a	n/a	600.00	3.0
CAISSE DEPOT PLACEMENT Q	257	ALTR	SS	15,000	33.28	n/a	n/a	450.00	3.0
MACELLUM CAPITAL	086	ANN	B	36,000	29.02	n/a	n/a	1,080.00	3.0
ROSEDALE CAPITAL	046	ATI	B	200	26.70	n/a	11-Apr	10.00	5.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	12.41	n/a	16-Apr	1,250.00	5.0
ROSEDALE CAPITAL	046	AXL	B	25,000	12.24	n/a	16-Apr	1,000.00	4.0
BASSWOOD PARTNERS	267	BDC	B	3,900	46.92	n/a	n/a	156.00	0.0
PRIMECAP MGMT	084	BIIB	S	3,000	201.16	n/a	n/a	120.00	0.0
SOROS	036	CA	B	40,548	24.73	n/a	n/a	1,621.92	0.0
LISTED ERR	099	CA	B	6,407	24.88	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	CDNS	S	25,381	13.03	n/a	n/a	1,015.24	0.0
SIGMA CAPITAL ASSOCIATES	041	COH	B	10,000	51.33	n/a	27-Feb	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	COH	B	15,000	51.71	n/a	27-Feb	750.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	COP	B	20,450	57.26	n/a	n/a	654.41	0.0
SOROS	036	CSCO	S	250,000	21.03	n/a	26-Feb	10,000.00	0.0
PARAMETER CAPITAL MGMT LLC044		CTB	S	40,000	24.34	n/a	n/a	1,200.00	3.0
SANDLER O'NEILL ASSET	031	C	S	25,000	46.35	n/a	16-Apr	1,250.00	5.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	15.35	n/a	15-Apr	500.00	5.0
BASSWOOD PARTNERS	267	DAN	B	7,800	16.18	n/a	16-Apr	312.00	0.0
BRONSON POINT	036	DAN	S	50,000	16.00	n/a	16-Apr	1,500.00	0.0
HIGHBRIDGE CAP	041	ETN	B	2,500	58.36	n/a	3-Apr	75.00	3.0
MILLRACE FUND LP	028	FL	B	7,500	33.37	n/a	10-Apr	300.00	4.0
MUHLENKAMP FUND	046	FXI	S	60,000	35.39	n/a	n/a	3,000.00	5.0
CASTLEROCK	040	F	B	50,000	13.17	n/a	16-Apr	2,000.00	4.0
OZ MGMT	040	F	C	226,997	13.04	n/a	16-Apr	6,809.91	0.0
PARAMETER CAPITAL MGMT LLC044		F	B	150,000	13.10	n/a	16-Apr	4,500.00	3.0
CENTURION PARTNERS	041	GBX	S	15,000	22.28	n/a	n/a	600.00	4.0
KOLVEN CAPITAL	025	GM	S	1,000	29.30	n/a	16-Apr	30.00	3.0
KEYGROUP/KGLT	040	GPOR	S	25,000	47.50	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	INXN	S	1,190	24.26	n/a	n/a	47.60	0.0
CAERUS GLOBAL	041	IWM	SS	1,000	91.19	n/a	n/a	40.00	4.0
CR INTRINSIC/CHRIS C	041	JCI	SS	10,000	33.28	n/a	27-Mar	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	JCP	SS	75,000	14.87	n/a	15-Apr	2,250.00	3.0
LEVIN CAPITAL STRATEGIES	041	KORS	C	5,000	53.50	n/a	12-Mar	150.00	0.0
EPOCH INV MGMT	030	KS	B	31,500	27.84	n/a	n/a	945.00	0.0
HAWKEYE CAPITAL	087	KS	S	40,000	28.17	n/a	n/a	1,200.00	0.0
SANDLER CAPITAL	028	KS	B	25,000	28.17	n/a	n/a	1,250.00	0.0
DELTEC ASSET MGMT.	040	LCC	B	1,900	15.95	n/a	16-Apr	76.00	4.0
FIRST NY SEC/CHRIS	041	LCC	B	15,000	16.31	n/a	16-Apr	750.00	5.0
PEREGRINE	030	LCC	B	36,390	16.35	n/a	16-Apr	1,455.60	0.0
FORTRESS INVESTMENT (US)	036	LMT	S	63,000	96.01	n/a	11-Apr	2,520.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	40,000	18.64	n/a	12-Apr	2,000.00	5.0
KAM ADVISORS LLC	041	MA	B	4,300	527.06	n/a	16-Apr	129.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	S	5,000	3.18	n/a	n/a	100.00	2.0
EPOCH INV MGMT	030	MTSC	S	6,400	54.92	n/a	n/a	192.00	0.0
AELTUS/ING INVESTMENT MGT	215	NKTR	S	10,400	10.73	n/a	n/a	312.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	OEF	B	10,000	70.93	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	297	OHI	S	12,400	32.29	n/a	n/a	496.00	0.0
PROSPECTOR PARTNERS LLC	036	PAYX	B	10,000	35.59	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	21,100	51.35	n/a	12-Apr	1,055.00	5.0
PROSPECTOR PARTNERS LLC	036	PFE	S	10,000	30.77	n/a	n/a	400.00	4.0
FRED ALGER MGMT	070	PM	S	25,145	94.57	n/a	n/a	905.22	0.0
FRED ALGER MGMT	070	RHT	B	37,345	50.69	n/a	n/a	1,344.42	0.0
HIGHBRIDGE CAP	041	ROC	B	2,500	62.31	n/a	n/a	75.00	3.0
HIGHBRIDGE CAP	041	ROK	S	2,000	83.69	n/a	n/a	60.00	3.0
LEVIN CAPITAL STRATEGIES	041	SSI	C	7,500	27.61	n/a	11-Apr	225.00	0.0
HALCYON LLC	041	S	S	100,000	7.14	n/a	n/a	2,000.00	2.0
BASSWOOD PARTNERS	267	TEX	B	7,200	28.68	n/a	n/a	288.00	0.0
LOMAS CAPITAL	040	TMHC	S	25,000	23.45	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	S	7,500	26.84		n/a n/a	225.00	3.0
HIGHBRIDGE CAP	041	URI	B	3,000	51.13	n/a	17-Apr	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAM ADVISORS LLC	041	V	B	13,800	163.03	n/a	12-Apr	414.00	0.0
NEUBERGER BERMAN	036	WMT	B	55,073	78.61	n/a	22-Feb	2,202.92	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	30.65	n/a	12-Apr	2,500.00	5.0
HIGHBRIDGE CAP	041	XLU	B	26,000	40.01	n/a	n/a	520.00	2.0
HIGHBRIDGE CAP	041	XOP	SS	18,000	55.40	n/a	n/a	360.00	2.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	14,000	71.25	n/a	n/a	420.00	0.0
STANDARD PACIFIC CAPITAL	084	X	B	222,000	16.58	n/a	n/a	11,100.00	5.0
TOTAL (Trade Date) :								93,886.24	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT94613)	215	CBS	S	12	46.16	n/a	n/a	0.36 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT84896)	215	CBS	S	24	46.16	n/a	n/a	0.72 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT84613)	215	CBS	S	12	46.16	n/a	n/a	0.36 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT700402)	215	CBS	S	52	46.16	n/a	n/a	1.56 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT695342)	215	CBS	S	14	46.16	n/a	n/a	0.42 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT62500)	215	CBS	S	31	46.16	n/a	n/a	0.93 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT40040)	215	CBS	S	31	46.16	n/a	n/a	0.93 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT25613)	215	CBS	S	12	46.16	n/a	n/a	0.36 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT20229)	215	CBS	S	19	46.16	n/a	n/a	0.57 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT15613)	215	CBS	S	12	46.16	n/a	n/a	0.36 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT138242)	215	CBS	S	47	46.16	n/a	n/a	1.41 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT31622)	215	CBS	S	46	46.16	n/a	n/a	1.38 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT621705)	215	CBS	S	24	46.16	n/a	n/a	0.72 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT317821)	215	CBS	S	29	46.16	n/a	n/a	0.87 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT31621)	215	CBS	S	18	46.16	n/a	n/a	0.54 0.0
AO,	04/15	AELTUS/ING IVESTMENT MGT (AELT240175)	215	CBS	S	43	46.16	n/a	n/a	1.29 0.0
AO,CXL	04/15	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	220,000	18.26	n/a	12-Apr	8800.00 0.0
AO,	04/15	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	220,000	18.26	n/a	12-Apr	6600.00 0.0
AO,CXL	04/12	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)	040	NIHD	S	30,000	7.01	n/a	n/a	900.00 3.0
AO,CRT	04/12	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)	040	NIHD	S	30,000	7.01	n/a	n/a	600.00 2.0
AO,CXL	04/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)	040	NIHD	S	30,000	7.19	n/a	n/a	900.00 3.0
AO,CRT	04/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)	040	NIHD	S	30,000	7.19	n/a	n/a	600.00 2.0
AO,CXL	04/15	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	TTWO	B	25,000	14.87	n/a	n/a	1250.00 5.0
AO,CRT	04/15	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	TTWO	B	25,000	14.87	n/a	n/a	750.00 3.0
CRT	04/16	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	B	26,000	40.01	n/a	n/a	520.00 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/16	HIGHBRIDGE CAP (HIBCCSFB)	041	XOP	SS	18,000	55.40	n/a	n/a	360.00 2.0
TOTAL (AO, CXL, CRT) :									-2,407.22	

TOTAL (Trade Date):									93,886.24	
TOTAL (AO, CXL, CRT):									-2,407.22	
TOTAL (RUN DATE) / NFS:									91,479.02	

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