



Daily Compliance Activity Report

Trade Date: 04/23/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AA	S	1,000	8.10	n/a	n/a	40.00	4.0
TRUSTCO/SUNTRUST (CEREDEX)	273	ADT	S	9,989	43.62	n/a	n/a	319.64	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	12.79	n/a	18-Apr	400.00	0.0
KEYGROUP/KGLT	040	BTU	SS	25,000	18.78	n/a	n/a	1,000.00	0.0
TRELLUS PARTNERS LP	028	BWA	B	5,000	72.68	n/a	18-Apr	150.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CMI	S	5,080	107.51	n/a	n/a	162.55	0.0
LATEEF MGMT	033	CTB	B	300	23.61	n/a	n/a	36.00	0.0
OSKIE CAPITAL MGMT	224	CWH	B	75,000	22.82	n/a	n/a	3,750.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CZR	S	75,000	15.55	n/a	n/a	2,250.00	0.0
SANDLER O'NEILL ASSET	031	C	S	35,000	46.16	n/a	16-Apr	1,750.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	DAL	B	30,905	16.56	n/a	23-Apr	988.96	0.0
BESSEMER INVESTMENT	085	DD	B	475	51.64	n/a	n/a	19.00	4.0
HALCYON LLC	041	DFS	B	52,300	44.62	n/a	23-Apr	1,569.00	0.0
SANDLER O'NEILL ASSET	031	DFS	S	700	45.00	n/a	23-Apr	35.00	5.0
BRONSON POINT	036	DG	S	18,800	52.51	n/a	26-Mar	564.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK	086	EAT	B	7,800	36.88	n/a	23-Apr	312.00	0.0
NEUBERGER BERMAN	036	EQR	B	73,276	57.92	n/a	n/a	2,931.04	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	94,650	18.27	n/a	23-Apr	2,839.50	0.0
BESSEMER INVESTMENT	085	F	S	2,850	13.35	n/a	22-Apr	114.00	4.0
CASTLEROCK	040	F	B	62,232	13.34	n/a	22-Apr	2,489.28	4.0
FIRST NEW YORK	086	F	B	30,000	13.29	n/a	22-Apr	1,200.00	0.0
OZ MGMT	040	F	C	250,000	13.35	n/a	22-Apr	7,500.00	0.0
SCOPUS FUND	041	F	B	100,000	13.36	n/a	22-Apr	4,000.00	0.0
RIDGECREST INV MGMT LLC	028	GM	B	2,500	29.80	n/a	22-Apr	100.00	0.0
PERRY PARTNERS	085	HES	B	100,000	68.42	n/a	n/a	5,000.00	0.0
BESSEMER INVESTMENT	085	IBM	B	1,095	190.27	n/a	n/a	43.80	4.0
NEW JERSEY DIV OF INV.	030	IBM	S	20,000	190.52	n/a	n/a	800.00	0.0
CHARTER OAK	033	IWM	B	33,000	92.05	n/a	n/a	1,650.00	0.0
MFP INVESTORS	085	JCP	S	45,000	15.58	n/a	22-Apr	1,800.00	0.0
COLUMBUS CIRCLE	036	LCC	B	17,000	16.33	n/a	19-Apr	680.00	0.0
WOOSTER CAPITAL	044	LEA	S	15,000	53.36	n/a	18-Apr	600.00	0.0
INVESCO	031	LOW	B	198,460	38.13	n/a	n/a	7,938.40	0.0
SMITH MGMT/ALDEN GLOBAL	029	LPX	S	300,000	17.71		n/a 19-Apr	9,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ENTRUST CAPITAL	040	LULU	SS	27,970	76.80	n/a	23-Apr	1,398.50	0.0
SASCO	033	MAS	S	3,200	19.93	n/a	n/a	112.00	0.0
MERRILL ASSET/BLACKROCK	297	MCO	S	14,466	54.91	n/a	n/a	578.64	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	S	8,500	3.06		n/a	n/a	170.00 0.0
CAPITAL WORLD	070	NKE	B	152,000	61.61	n/a	23-Apr	5,320.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.17	n/a	n/a	800.00	0.0
KLEINHEINZ CAP PART	031	PBR	B	175,000	17.51	n/a	n/a	8,750.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	15,000	45.46	n/a	23-Apr	750.00	0.0
J. GOLDMAN	028	PKG	SS	18,500	45.59	n/a	23-Apr	740.00	0.0
BASSWOOD PARTNERS	267	PNRA	C	4,997	181.97	n/a	23-Apr	199.88	0.0
NEUBERGER BERMAN	036	POOL	B	10,350	48.48	n/a	n/a	414.00	0.0
DELTEC ASSET MGMT.	040	PVH	B	5,000	108.40	n/a	22-Apr	250.00	0.0
SASCO	033	RSG	S	6,700	32.94	n/a	n/a	234.50	0.0
Õ Jack Chernus		SBUX	B	200	59.1000	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.2000	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.2200	n/a	22-Apr	0.00	0.0
Õ Jack Chernus		SBUX	B	300	59.2200	n/a	22-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Jack Chernus		SBUX	B	600	59.1000	n/a	22-Apr	0.00	0.0
SASCO	033	SEE	S	3,950	21.76	n/a	2-Jun	138.25	0.0
BESSEMER INVESTMENT	085	SO	B	485	48.71	n/a	n/a	19.40	4.0
HOLLIS CAPITAL	033	SSI	B	3,000	28.14	n/a	11-Apr	150.00	0.0
SANDLER O'NEILL ASSET	031	STT	B	9,886	57.95	n/a	19-Apr	494.30	5.0
BESSEMER INVESTMENT	085	SWY	S	3,700	27.70	n/a	n/a	148.00	4.0
SASCO	033	SWY	S	5,850	27.66	n/a	n/a	204.75	0.0
BESSEMER INVESTMENT	085	SYI	B	685	34.88	n/a	n/a	27.40	4.0
HALCYON LLC	041	S	B	75,000	7.15	n/a	n/a	1,500.00	0.0
CAERUS GLOBAL	041	TGT	SS	6,000	69.45	n/a	18-Apr	240.00	0.0
BRONSON POINT	036	TRW	S	12,500	55.63	n/a	n/a	375.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	TYC	S	7,408	31.06	n/a	30-Jan	237.05	0.0
NEUBERGER BERMAN	036	UAL	B	48,255	31.14	n/a	22-Apr	1,930.20	0.0
APEX CAPITAL MGMT.	033	UTX	C	79,600	91.57	n/a	n/a	3,184.00	0.0
CHARTER OAK	033	VTI	B	38,000	81.15	n/a	n/a	1,900.00	0.0
SASCO	033	WMB	S	2,400	37.90	n/a	n/a	84.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	XLE	SS	36,000	75.94	n/a	n/a	1,800.00	0.0
PERRY PARTNERS	085	XOP	SS	49,200	55.67	n/a	n/a	2,460.00	0.0
TOTAL (Trade Date) :								96,642.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/18	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	040	NIHD	S	30,000	7.45	n/a	n/a	900.00 3.0
AO,CRT	04/18	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	040	NIHD	S	30,000	7.45	n/a	n/a	600.00 2.0
AO,CXL	04/22	NEW JERSEY DIV OF INV. (NEWJ5140)	030	WHR	B	2,500	116.40	n/a	n/a	100.00 0.0
AO,CRT	04/22	NEW JERSEY DIV OF INV. (NEWJ5140)	030	WHR	B	2,500	116.40	n/a	n/a	100.00 0.0
AO,CXL	04/22	FIRST NEW YORK (FNYS)	086	WMT	SS	50,000	77.70	n/a	22-Feb	2000.00 4.0
AO,CRT	04/22	FIRST NEW YORK (FNYS)	086	WMT	SS	50,000	77.70	n/a	22-Feb	1500.00 3.0
TOTAL (AO, CXL, CRT) :										-800.00
TOTAL (Trade Date) :										96,642.04
TOTAL (AO, CXL, CRT) :										-800.00
TOTAL (RUN DATE) / NFS:										95,842.04

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