



Daily Compliance Activity Report

Trade Date: 08/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	4,000	35.59	n/a	n/a	160.00	0.0
DELTEC ASSET MGMT.	040	ABX	S	46,000	18.54	n/a	n/a	1,840.00	0.0
ESSENCIAL CAPITAL	031	ABX	S	5,000	18.70	n/a	n/a	150.00	0.0
BASSWOOD PARTNERS	267	AF	C	100,000	12.79	n/a	18-Apr	4,000.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	20.41	n/a	19-Jun	400.00	0.0
M&I FUNDS	047	BA	B	5,340	105.09	n/a	11-Jun	213.60	0.0
ARCHON CAPITAL	033	BBBY	SS	16,500	74.29	n/a	n/a	495.00	0.0
WAGONHOUND/NICOLAS	033	BBY	B	45,557	31.83	n/a	n/a	1,822.28	0.0
NEUBERGER BERMAN	036	BKU	B	18,800	30.68	n/a	n/a	752.00	0.0
LISTED ERR	099	BKU	S	378	30.65	n/a	n/a	0.00	0.0
M&I FUNDS	047	BMY	S	6,536	43.21	n/a	n/a	261.44	0.0
PENNANT CAP MGMT	029	BRCM	B	30,000	26.25	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	CBRL	B	8,389	99.19	n/a	n/a	335.56	0.0
NEUBERGER BERMAN	036	CBU	B	5,881	34.26	n/a	n/a	235.24	0.0
NEUBERGER BERMAN	036	COG	S	3,985	74.92	n/a	13-Jun	159.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CPN	B	18,600	18.94	n/a	n/a	744.00	0.0
JETSTREAM GLOBAL FUND LP	065	DAL	S	143,800	19.11	n/a	18-Jun	7,190.00	0.0
BRONSON POINT	036	DAN	S	50,000	22.51	n/a	19-Jun	1,500.00	0.0
PENNANT CAP MGMT	029	DGX	B	15,000	59.88	n/a	n/a	300.00	0.0
NEUBERGER BERMAN	036	EBAY	B	179,007	54.37	n/a	n/a	7,160.28	0.0
STATE TEACHERS RET SYS	047	EBAY	B	110,300	54.29	n/a	n/a	5,515.00	0.0
NEUBERGER BERMAN	036	EL	B	25,000	65.58	n/a	17-Jun	1,000.00	0.0
MACELLUM CAPITAL	086	ETH	B	18,000	28.23	n/a	n/a	540.00	0.0
NEUBERGER BERMAN	036	FDO	S	26,391	72.24	n/a	4-Jun	1,055.64	0.0
NEUBERGER BERMAN	036	FELE	B	9,549	37.98	n/a	n/a	381.96	0.0
NEUBERGER BERMAN	036	FFIN	B	3,900	59.71	n/a	n/a	156.00	0.0
CAERUS GLOBAL	041	FL	B	10,000	34.70	n/a	19-Jun	400.00	0.0
OZ MGMT	040	FL	B	75,000	34.92	n/a	19-Jun	2,250.00	0.0
NEUBERGER BERMAN	036	FNB	B	44,250	12.87	n/a	n/a	1,770.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	20.17	n/a	9-May	400.00	0.0
DAVIDSON KEMPNER ADVISOR	281	GMCR	SS	15,000	77.91	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	033	GMT	SS	55,000	44.82	n/a	n/a	2,200.00	0.0
J. GOLDMAN	028	GMT	B	10,000	44.85	n/a	n/a	400.00	0.0
SPARTAN	093	HW	B	9,200	8.85	n/a	n/a	276.00	0.0
DAVIDSON KEMPNER ADVISOR	281	IGT	SS	50,000	19.02	n/a	13-Jun	2,500.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	48.94	n/a	17-Jun	750.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN	044		ITC	B	25,000	88.29	n/a	n/a	1,000.00 0.0
DEPRINCE, RACE & ZOLLO	093	JBLU	B	175,000	6.38	n/a	18-Jun	5,250.00	0.0
FIRST NY SEC/CHRIS	041	JWN	SS	10,000	59.51	n/a	18-Jun	500.00	0.0
THREE G	041	KORS	S	6,919	72.14	n/a	30-May	207.57	0.0
FRED ALGER MGMT	070	LAMR	S	69,250	44.05	n/a	n/a	2,493.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	36.30	n/a	6-May	500.00	0.0
HOLLIS CAPITAL	033	LCC	B	5,000	15.86	n/a	18-Jun	250.00	0.0
STANDARD PACIFIC CAPITAL	084	LCC	S	200,000	16.19	n/a	18-Jun	10,000.00	0.0
LISTED ERR	099	LCC	S	1,800	16.05	n/a	18-Jun	0.00	0.0
DISIPLINED GROWTH INV.	030	LTD	S	3,500	60.97	n/a	n/a	175.00	0.0
IVORY CAPITAL	084	MU	B	156,034	14.84	n/a	n/a	7,801.70	0.0
FIRST NEW YORK	086	NOK	B	20,000	4.18	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADISON ST PARTNERS LLC	046	NTI	S	50,000	22.66	n/a	n/a	2,500.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	NYT	B	26,300	12.04	n/a	n/a	789.00	0.0
NEUBERGER BERMAN	036	POWI	B	6,292	52.86	n/a	n/a	251.68	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	5,000	39.72	n/a	n/a	250.00	0.0
CAMBIAR CAP	046	RDEN	B	125,473	35.29	n/a	17-Jun	5,018.92	0.0
CAERUS GLOBAL	041	RL	B	15,000	176.64	n/a	24-May	600.00	0.0
THREE G	041	ROST	B	7,436	67.07	n/a	18-Jun	223.08	0.0
SANDLER CAPITAL	028	SIX	SS	175,000	34.81	n/a	n/a	8,750.00	0.0
COUGAR TRADING	044	SSI	SS	5,000	23.80	n/a	18-Jun	250.00	0.0
SCOPUS FUND	041	TEX	SS	25,000	31.04	n/a	n/a	1,000.00	0.0
ALTIMETER CAPITAL MGMT.	029	UAL	B	50,000	30.24	n/a	18-Jun	1,500.00	0.0
NEUBERGER BERMAN	036	VPFG	B	2,600	21.09	n/a	n/a	104.00	0.0
PRIMECAP MGMT	084	WFC	B	9,685	43.26	n/a	6-Jun	387.40	0.0
BTG PACTUAL	040	WY	B	23,700	27.87	n/a	19-Jun	711.00	0.0

TOTAL (Trade Date):

100,175.75

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/13	PIMCO (PIMC4975)	084	AIG	B	50,000	48.35	n/a	n/a	1000.00 0.0
AO,CXL	08/13	PIMCO (PIMC4975G)	084	AIG	B	50,000	48.35	n/a	n/a	1500.00 0.0
AO,CRT	08/13	LISTED ERR (LISTED ERR)	099	BKU	B	100	30.48	n/a	n/a	0.00 0.0
AO,CRT	08/13	LISTED ERR (LISTED ERR)	099	BKU	B	100	30.48	n/a	n/a	0.00 0.0
AO,CRT	08/13	LISTED ERR (LISTED ERR)	099	BKU	B	78	30.47	n/a	n/a	0.00 0.0
AO,CRT	08/13	LISTED ERR (LISTED ERR)	099	BKU	B	98	30.46	n/a	n/a	0.00 0.0
AO,CRT	08/13	LISTED ERR (LISTED ERR)	099	BKU	B	2	30.45	n/a	n/a	0.00 0.0
AO,CXL	08/13	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	16.65	n/a	19-Jun	2000.00 0.0
AO,CRT	08/13	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	16.65	n/a	19-Jun	1500.00 3.0

TOTAL (AO, CXL, CRT) :	-1,000.00
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TOTAL (Trade Date) :	100,175.75
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	99,175.75
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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