



Daily Compliance Activity Report

Trade Date: 08/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALON ASSET MGMT.	006	AIG	S	7,500	46.52	n/a	n/a	375.00	0.0
BRONSON POINT	036	AVP	B	25,000	20.41	n/a	17-Jun	750.00	0.0
INTERVAL PARTNERS	033	AXL	B	25,000	19.27	n/a	19-Jun	750.00	0.0
EPOCH INV MGMT	030	CME	S	200,000	72.57	n/a	28-Apr	6,000.00	0.0
FIFTH THIRD BANK/FREEMAN	047	C	B	14,120	49.73	n/a	17-Jun	564.80	0.0
TALON ASSET MGMT.	006	C	S	5,000	49.68	n/a	17-Jun	250.00	0.0
SCOPUS FUND	041	DG	B	118,800	53.98	n/a	4-Jun	4,752.00	0.0
CAERUS GLOBAL	041	DKS	B	40,139	50.70	n/a	19-Jun	1,605.56	0.0
LAKEWOOD CAPITAL MGMT	085	DXCM	C	3,000	26.47	n/a	n/a	90.00	0.0
CADIAN CAPITAL	041	EMC	B	50,000	25.77	n/a	26-Feb	1,500.00	0.0
MAPLE LANE CAPITAL	040	FB	S	100,000	38.10	n/a	n/a	4,000.00	0.0
RIDGECREST INV MGMT LLC	028	FCX	S	20,000	31.22	n/a	n/a	800.00	0.0
TALON ASSET MGMT.	006	GILD	S	2,500	57.89	n/a	n/a	125.00	0.0
PECONIC PARTNERS	036	GM	B	10,000	34.80	n/a	19-Jun	500.00	0.0
S.A.C. CAPITAL	044	GNC	S	20,000	51.81	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYVOR CAPITAL LLC	031	HD	S	24,489	76.32	n/a	n/a	734.67	0.0
FIFTH THIRD BANK/FREEMAN	047	JPM	B	10,170	52.39	n/a	17-Jun	406.80	0.0
STRONG/MARK GRONET	030	LCC	B	30,000	15.65	n/a	18-Jun	1,200.00	0.0
TIDE POINT CAPITAL	028	LEA	B	15,000	70.58	n/a	19-Jun	450.00	0.0
CORTEX CAPITAL	031	LF	SS	50,000	10.32	n/a	n/a	1,500.00	0.0
MERRILL ASSET/BLACKROCK	085	LNC	S	18,400	42.96	n/a	n/a	736.00	0.0
TYVOR CAPITAL LLC	031	LOW	B	13,000	43.80	n/a	n/a	390.00	0.0
CR INTRINIC INVESTMENT	044	LPX	B	25,000	15.25	n/a	19-Jun	750.00	0.0
DC CAPITAL	044	LPX	B	100,000	15.37	n/a	19-Jun	3,000.00	0.0
SLS CAPITAL LLC	006	LPX	S	156,672	15.25	n/a	19-Jun	6,266.88	0.0
OMEGA ADVISORS	041	NLY	S	470,000	11.08	n/a	n/a	18,800.00	0.0
BASSWOOD PARTNERS	267	NYCB	C	77,862	15.35	n/a	24-Apr	3,114.48	0.0
S.A.C. CAPITAL	044	OFIX	SS	8,400	22.05	n/a	n/a	252.00	0.0
FIFTH THIRD BANK/FREEMAN	047	PHM	S	13,529	15.72	n/a	n/a	541.16	0.0
Õ Ryan Mueller		PQ	S	760	4.2700	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PRGO	SS	5,000	120.76		n/a 18-Jun	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAPLE LANE CAPITAL	040	P	S	75,000	21.35	n/a	n/a	3,000.00	0.0
CAMBIAR CAP	046	RDEN	B	27,122	35.00	n/a	17-Jun	1,084.88	0.0
ALLIANZ GLOBAL INVESTOR	084	RPTP	B	41,344	11.67	n/a	n/a	1,447.05	0.0
MAPLE LANE CAPITAL	040	SBGI	S	65,000	24.27	n/a	n/a	3,250.00	0.0
S.A.C. CAPITAL	044	SBGI	B	10,000	24.27	n/a	n/a	300.00	0.0
KORT	025	SEE	B	30,000	28.88	n/a	2-Jun	900.00	0.0
TUDOR INVESTORS	028	TKR	B	10,000	58.00	n/a	n/a	300.00	0.0
LAKEWOOD CAPITAL MGMT	085	UNXL	C	5,000	15.75	n/a	n/a	150.00	0.0
BALYASNY ASSET MGMT	044	URBN	S	15,000	39.87	n/a	n/a	750.00	0.0
SENATOR INVESTMENT GROUP	287	VLO	SS	309,483	34.93	n/a	n/a	9,284.49	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VLO	B	13,600	34.56	n/a	n/a	448.80	0.0
MERRILL ASSET/BLACKROCK	085	V	B	9,800	175.75	n/a	11-Jun	392.00	0.0
SENATOR INVESTMENT GROUP	287	XOM	B	152,872	87.60	n/a	n/a	4,586.16	0.0
TOTAL (Trade Date):								86,847.73	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/15	OZ MGMT (OZFFBNP)	040	GM	B	41,642	34.69	n/a	19-Jun	1249.26 0.0
AO,	08/15	OZ MGMT (OZFFML)	040	GM	B	1,015	34.69	n/a	19-Jun	30.45 0.0
AO,	08/15	OZ MGMT (OZFFUBSWA)	040	GM	B	1,357	34.69	n/a	19-Jun	40.71 0.0
AO,	08/15	OZ MGMT (OZFFJPMBS)	040	GM	B	2,172	34.69	n/a	19-Jun	65.16 0.0
AO,	08/15	OZ MGMT (OZFFDB)	040	GM	B	2,831	34.69	n/a	19-Jun	84.93 0.0
AO,	08/15	OZ MGMT (OZFFMS)	040	GM	B	983	34.69	n/a	19-Jun	29.49 0.0
AO,CXL	08/15	OZ MGMT (OZFFGS)	040	GM	B	50,000	34.69	n/a	19-Jun	2500.00 0.0
AO,CXL	08/16	LATEEF MGMT (LATE5379)	033	IBM	B	850	185.91	n/a	n/a	127.50 0.0
AO,	08/16	LATEEF MGMT (LATE5379)	033	IBM	B	350	185.91	n/a	n/a	52.50 0.0
AO,	08/16	LATEEF MGMT (LATESCH569)	033	IBM	B	500	185.91	n/a	n/a	75.00 0.0
AO,CXL	08/16	CAERUS GLOBAL (CAERJPMCNS)	041	RL	B	2,415	173.40	n/a	24-May	96.60 0.0
AO,	08/16	CAERUS GLOBAL (CAERJPMCNS)	041	RL	B	2,142	173.40	n/a	24-May	96.60 0.0
AO,CXL	08/16	CAERUS GLOBAL (CAERGSMAN)	041	RL	B	7,585	173.40	n/a	24-May	303.40 0.0
AO,	08/16	CAERUS GLOBAL (CAERGSMAN)	041	RL	B	7,858	173.40	n/a	24-May	303.40 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00
TOTAL (Trade Date):										86,847.73
TOTAL (AO, CXL, CRT):										-1,000.00
TOTAL (RUN DATE) / NFS:										85,847.73

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