



Daily Compliance Activity Report

Trade Date: 05/16/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	185,000	6.88	n/a	n/a	5,550.00	0.0
LATEEF MGMT	033	AA	S	350	8.51	n/a	n/a	35.00	0.0
J. GOLDMAN	028	ABB	B	120,000	22.16	n/a	n/a	4,800.00	0.0
LONG OAR GLOBAL INV	040	AKS	SS	75,000	3.32	n/a	n/a	3,000.00	0.0
ADAGE CAPITAL MGMT	030	ASNA	B	44,265	19.99	n/a	n/a	1,327.95	0.0
PARAMETER CAPITAL MGMT LLC044		AXE	S	20,000	74.60	n/a	16-May	600.00	0.0
LONG OAR GLOBAL INV	040	BBY	SS	19,000	25.98	n/a	n/a	760.00	0.0
PARAMETER CAPITAL MGMT LLC044		BECN	S	20,000	40.40	n/a	n/a	600.00	0.0
BALYASNY ASSET MGMT	044	BHP	SS	50,000	66.93	n/a	n/a	2,500.00	0.0
PENNANT CAP MGMT	029	BRCM	B	40,000	37.01	n/a	n/a	800.00	0.0
MERRILL ASSET/BLACKROCK	297	BRKB	S	2,943	112.22	n/a	n/a	117.72	0.0
J. GOLDMAN	028	CAT	B	58,000	87.00	n/a	11-Jul	2,320.00	0.0
LATEEF MGMT	033	CMC	B	750	15.43	n/a	n/a	75.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		CNH	B	50,000	42.84	n/a	n/a	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
LATEEF MGMT	033	CVS	S	250	59.59	n/a	n/a	45.00	0.0	
Õ Jack Chernus		DAL	B	500	18.6500	n/a	10-May	0.00	0.0	
Õ Jack Chernus		DAL	B	600	18.6600	n/a	10-May	0.00	0.0	
CR INTRINSIC/CHRIS C	041	DAN	S	25,000	17.43	n/a	26-Apr	750.00	0.0	
LATEEF MGMT	033	DE	B	275	90.07	n/a	11-Jul	49.50	0.0	
VERITION	028	DHR	S	10,000	62.76	n/a	n/a	300.00	0.0	
LATEEF MGMT	033	ENR	S	100	102.69	n/a	2-May	30.00	0.0	
MERRILL ASSET/BLACKROCK	297	EQR	S	3,400	59.89	n/a	n/a	136.00	0.0	
MERRILL ASSET/BLACKROCK	297	ESS	S	1,100	167.18	n/a	n/a	44.00	0.0	
SCOPUS FUND	041	ETN	S	25,000	65.78	n/a	2-May	1,000.00	0.0	
CAPITAL RESEARCH GROUP		296	EXC	B	300,000	35.03	n/a	n/a	10,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	60,000	36.43	n/a	16-May	1,800.00	0.0	
MERRILL ASSET/BLACKROCK	297	FRT	S	2,700	117.02	n/a	n/a	108.00	0.0	
PROVIDENCE EQUITY CAP. MKTS.	040	FSL	B	150,000	16.75	n/a	n/a	4,500.00	0.0	
TRELLUS PARTNERS LP	028	F	SS	10,000	14.79	n/a	16-May	400.00	0.0	
MASTERS CAPITAL MANAGE	025	GLW	S	250,000	15.37	n/a	n/a	10,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J. GOLDMAN	028	GT	S	45,000	13.69	n/a	n/a	1,800.00	0.0
MERRILL ASSET/BLACKROCK	297	HME	S	1,900	66.68	n/a	n/a	76.00	0.0
BRIGADE CAPITAL MGMT	029	HOV	S	25,000	5.86	n/a	n/a	750.00	0.0
IRIDIAN ASSET MGMT.	036	IP	S	269,770	47.69	n/a	15-May	13,488.50	0.0
MACELLUM CAPITAL	086	JCP	S	31,000	18.89	n/a	16-May	930.00	0.0
MFP INVESTORS	085	JCP	S	10,000	18.80	n/a	16-May	500.00	0.0
SONICA CAPITAL LLC	025	JCP	B	44,000	18.74	n/a	16-May	1,320.00	0.0
CORNERSTONE	030	KORS	B	80,000	59.82	n/a	22-Apr	2,400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	200,000	52.14	n/a	16-May	6,000.00	0.0
CYRUS CAPITAL	025	LCC	SS	25,570	19.05	n/a	10-May	767.10	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	10,500	36.00	n/a	16-May	525.00	0.0
FIRST NEW YORK NICK	029	NOK	S	20,000	3.75	n/a	n/a	1,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NUAN	B	10,000	18.66	n/a	n/a	200.00	0.0
COLUMBUS CIRCLE	036	N	S	2,837	94.92	n/a	n/a	113.48	0.0
PARAMETER CAPITAL MGMT LLC	044	ODFL	S	20,000	40.81	n/a	n/a	600.00	0.0
LATEEF MGMT	033	OLN	B	650	24.86	n/a	n/a	77.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	ORCL	S	400	34.50	n/a	n/a	16.00	0.0
MERRILL ASSET/BLACKROCK	297	PGR	S	9,364	26.30	n/a	n/a	374.56	0.0
IRIDIAN ASSET MGMT.	036	PKG	S	82,806	49.84	n/a	16-May	4,140.30	0.0
MERRILL ASSET/BLACKROCK	297	PLD	S	4,600	43.98	n/a	n/a	184.00	0.0
MERRILL ASSET/BLACKROCK	297	RGA	S	7,700	64.00	n/a	n/a	308.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040		ROIAK	B	25,300	2.35	n/a	n/a	759.00	0.0
LOMAS CAPITAL	040	SCHW	S	53,780	19.04	n/a	n/a	1,613.40	0.0
LATEEF MGMT	033	SPLS	S	300	14.52	n/a	n/a	30.00	0.0
LEVIN CAPITAL STRATEGIES	041	SSI	S	16,412	26.93	n/a	8-May	492.36	0.0
WEISS PECK/ROBECO/BOSTON PT		040 SSI	SS		5,900	26.87	n/a	8-May	295.00 0.0
FARALLON CAP MGMT	040	TDG	B	35,000	154.68	n/a	n/a	1,400.00	0.0
TIDE POINT CAPITAL	028	TRW	S	20,000	61.79	n/a	n/a	600.00	0.0
COOKBIELER	028	UNH	B	78,700	61.54	n/a	n/a	3,148.00	0.0
PARAMETER CAPITAL MGMT LLC044		USB	B	30,000	34.28	n/a	n/a	900.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		VOD	S	50,000	30.15	n/a	n/a	2,000.00	0.0
EVERGREEN	047	WFT	S	37,300	13.92	n/a	n/a	1,492.00	0.0

TOTAL (Trade Date):

102,447.87

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/15	COLUMBUS CIRCLE (COLC3050)	036	SBNY	S	972	77.00	n/a	n/a	38.88 0.0
TOTAL (AO, CXL, CRT) :										38.88

TOTAL (Trade Date):	102,447.87
TOTAL (AO, CXL, CRT):	38.88

TOTAL (RUN DATE) / NFS:	102,486.75
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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