



Daily Compliance Activity Report

Trade Date: 04/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAISSE DEPOT PLACEMENT Q	257	ADBE	SS	15,000	44.48	n/a	n/a	450.00	3.0
NWQ INVESTMENT MGMT CO	084	AIG	S	1,950	38.82	n/a	n/a	68.25	0.0
NWQ INVESTMENT MGMT CO	084	AMAT	S	2,050	12.90	n/a	n/a	71.75	0.0
NWQ INVESTMENT MGMT CO	084	AON	S	450	60.15	n/a	n/a	15.75	0.0
NWQ INVESTMENT MGMT CO	084	APA	S	300	68.76	n/a	18-Apr	10.50	0.0
NWQ INVESTMENT MGMT CO	084	AU	S	1,400	18.64	n/a	n/a	49.00	0.0
MILLRACE FUND LP	028	AXE	S	7,000	65.56	n/a	19-Apr	280.00	0.0
LEVIN CAPITAL STRATEGIES	041	BBY	SS	11,000	22.88	n/a	n/a	330.00	0.0
PROSPECTOR PARTNERS LLC	036	BEAM	S	5,000	64.65	n/a	n/a	200.00	4.0
NWQ INVESTMENT MGMT CO	084	CA	S	2,150	24.27	n/a	n/a	75.25	0.0
SOROS	036	CA	B	219,831	24.30	n/a	n/a	8,793.24	0.0
SIGMA CAPITAL ASSOCIATES	041	CLX	B	10,000	89.91	n/a	28-Mar	300.00	3.0
NWQ INVESTMENT MGMT CO	084	CNQ	S	1,150	28.80	n/a	n/a	40.25	0.0
NWQ INVESTMENT MGMT CO	084	CSCO	S	1,350	20.42	n/a	26-Feb	47.25	0.0
NWQ INVESTMENT MGMT CO	084	CVS	S	450	57.84	n/a	n/a	15.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	C	S	950	45.03	n/a	16-Apr	33.25	0.0
SANDLER O'NEILL ASSET	031	C	S	100,000	45.02	n/a	16-Apr	5,000.00	5.0
HIGHBRIDGE CAP	041	DE	SS	1,795	83.56	n/a	11-Jul	53.85	3.0
NEWLAND CAPITAL MGT	025	DOV	B	10,000	68.15	n/a	n/a	400.00	4.0
PRIMECAP MGMT	084	EMC	B	5,000	21.90	n/a	26-Feb	200.00	0.0
HIGHBRIDGE CAP	041	EMN	B	2,204	70.10	n/a	n/a	66.12	3.0
HIGHBRIDGE CAP	041	ETN	B	4,394	57.01	n/a	3-Apr	131.82	3.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	33,675	18.36	n/a	17-Apr	1,010.25	0.0
BNP PARIBAS SEC	040	FLO	B	14,400	32.32	n/a	n/a	432.00	3.0
MOORE CAPITAL	257	GCI	C	25,000	20.42	n/a	n/a	750.00	0.0
NWQ INVESTMENT MGMT CO	084	GM	S	1,100	29.11	n/a	18-Apr	38.50	0.0
NWQ INVESTMENT MGMT CO	084	GS	S	100	138.39	n/a	16-Apr	3.50	0.0
NWQ INVESTMENT MGMT CO	084	HAL	S	200	37.06	n/a	n/a	7.00	0.0
MERRILL ASSET/BLACKROCK	297	ICE	S	400	153.85	n/a	n/a	16.00	0.0
COLUMBUS CIRCLE	036	IMPV	B	384	38.38	n/a	n/a	15.36	0.0
SCOPUS FUND	041	IP	B	10,000	45.69	n/a	17-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	IR	S	300	53.75	n/a	27-Mar	10.50	0.0
LIONEYE CAPITAL	040	JCP	B	20,000	15.28	n/a	18-Apr	1,000.00	5.0
NWQ INVESTMENT MGMT CO	084	JPM	S	350	47.24	n/a	15-Apr	12.25	0.0
MACELLUM CAPITAL	086	KSS	B	45,000	47.40	n/a	8-Apr	1,350.00	3.0
EPOCH INV MGMT	030	KS	B	15,407	27.51	n/a	n/a	462.21	0.0
BRONSON POINT	036	LEA	B	50,000	51.66	n/a	18-Apr	1,500.00	0.0
BALYASNY ASSET MGMT	044	LOW	SS	25,000	38.16	n/a	n/a	1,250.00	0.0
CAISSE DEPOT PLACEMENT Q	257	LSCC	B	75,000	4.80	n/a	n/a	2,250.00	3.0
BNP PARIBAS SEC	040	LULU	B	15,200	68.50	n/a	17-Apr	456.00	3.0
HIGHBRIDGE CAP	041	LYB	B	1,739	57.67	n/a	n/a	52.17	3.0
NWQ INVESTMENT MGMT CO	084	L	S	450	43.00	n/a	n/a	15.75	0.0
MARSICO CAPITAL	046	MDLZ	B	250,000	31.36	n/a	n/a	10,000.00	0.0
NWQ INVESTMENT MGMT CO	084	MET	S	700	35.59	n/a	n/a	24.50	0.0
NWQ INVESTMENT MGMT CO	084	MOS	S	150	57.58	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	MSFT	S	1,300	29.71	n/a	n/a	45.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OTTER CREEK MGMT	093	MSFT	S	50,000	29.86	n/a	n/a	1,500.00	3.0
NWQ INVESTMENT MGMT CO	084	NRG	S	700	27.00	n/a	n/a	24.50	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OSIS	S	25,673	54.75	n/a	n/a	770.19 0.0
NWQ INVESTMENT MGMT CO	084	OXY	S	150	79.35	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	PCAR	S	450	48.26	n/a	n/a	15.75	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	30,000	52.11	n/a	19-Apr	1,500.00	5.0
CR INTRINIC INVESTMENT	044	PETM	S	10,000	66.83	n/a	n/a	300.00	3.0
NWQ INVESTMENT MGMT CO	084	PFE	S	2,300	30.91	n/a	n/a	80.50	0.0
NWQ INVESTMENT MGMT CO	084	PM	S	100	91.85	n/a	n/a	3.50	0.0
NEW JERSEY DIV OF INV.	030	PSX	B	40,000	57.59	n/a	n/a	1,600.00	4.0
CAERUS GLOBAL	041	PVH	B	3,000	105.91	n/a	1-Apr	120.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	B	11,000	86.42	n/a	17-Apr	440.00	4.0
HIGHBRIDGE CAP	041	ROC	B	1,743	62.60	n/a	n/a	52.29	3.0
NWQ INVESTMENT MGMT CO	084	RTN	S	200	57.21	n/a	11-Mar	7.00	0.0
NEUBERGER BERMAN	036	SNDK	S	98,817	52.61	n/a	n/a	3,952.68	0.0
NWQ INVESTMENT MGMT CO	084	SNY	S	950	52.90	n/a	n/a	33.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	SO	B	212,811	48.35	n/a	n/a	8,512.44	0.0
BNP PARIBAS SEC	040	SPLS	S	50,000	12.77	n/a	n/a	1,500.00	3.0
NWQ INVESTMENT MGMT CO	084	TEVA	S	750	37.95	n/a	18-Apr	26.25	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	69.15	n/a	18-Apr	1,500.00	3.0
NWQ INVESTMENT MGMT CO	084	TLM	S	3,000	11.00	n/a	n/a	105.00	0.0
NWQ INVESTMENT MGMT CO	084	TWX	S	600	59.57	n/a	n/a	21.00	0.0
CAISSE DEPOT PLACEMENT Q	257	TXN	SS	20,000	33.72	n/a	n/a	600.00	3.0
NEUBERGER BERMAN	036	TYPE	B	2,240	22.40	n/a	n/a	89.60	0.0
NEUBERGER BERMAN	036	UNF	B	1,860	90.22	n/a	n/a	74.40	0.0
NWQ INVESTMENT MGMT CO	084	UNM	S	1,750	26.26	n/a	n/a	61.25	0.0
NWQ INVESTMENT MGMT CO	084	UNP	S	150	145.70	n/a	n/a	5.25	0.0
NWQ INVESTMENT MGMT CO	084	VIAB	S	800	66.04	n/a	n/a	28.00	0.0
NWQ INVESTMENT MGMT CO	084	VOD	S	900	29.62	n/a	n/a	31.50	0.0
NWQ INVESTMENT MGMT CO	084	WFC	S	750	36.60	n/a	15-Apr	26.25	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	78.34	n/a	22-Feb	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UNITED STATES PENSION	085	WRI	S	120,000	32.26	n/a	n/a	6,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	S	145,000	29.97	n/a	19-Apr	7,250.00	5.0
HIGHBRIDGE CAP	041	XOP	SS	4,560	54.85	n/a	n/a	91.20	2.0
TOTAL (Trade Date) :								74,815.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/18	AMBER CAPITAL (AMBRGSI)	046	ANV	SS	239,056	10.49	n/a	n/a	9562.24 4.0
AO,CXL	04/18	AMBER CAPITAL (AMBRAMFGS)	046	ANV	SS	239,056	10.49	n/a	n/a	9562.24 4.0
AO,CXL	04/16	PROSPECTOR PARTNERS LLC (PROSMHOR)	036	PAYX	B	300	35.59	n/a	n/a	12.00 4.0
AO,CRT	04/16	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	PAYX	B	300	35.59	n/a	n/a	12.00 4.0
AO,CXL	04/16	HALCYON LLC (HALCBARCL)	041	S	S	74,351	7.14	n/a	n/a	1487.02 2.0
AO,CRT	04/16	HALCYON LLC (HALCSBSHPB)	041	S	S	4,969	7.14	n/a	n/a	99.38 2.0
AO,CXL	04/16	HALCYON LLC (HALCDBSI)	041	S	S	5,005	7.14	n/a	n/a	100.10 2.0
AO,CXL	04/16	HALCYON LLC (HALCDBSI)	041	S	S	20,644	7.14	n/a	n/a	412.88 2.0
AO,CRT	04/16	HALCYON LLC (HALCDBSI)	041	S	S	95,031	7.14	n/a	n/a	1900.62 2.0
CRT	04/19	UNITED STATES PENSION (USXXUSE)	085	WRI	S	120,000	32.26	n/a	n/a	6000.00 5.0
CRT	04/19	HIGHBRIDGE CAP (HIBCCSFB)	041	XOP	SS	4,560	54.85	n/a	n/a	91.20 2.0

TOTAL (AO, CXL, CRT) :**6,091.20**

TOTAL (Trade Date) :

74,815.82

TOTAL (AO, CXL, CRT) :

6,091.20

TOTAL (RUN DATE) / NFS:**80,907.02**

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