



## Daily Compliance Activity Report

Trade Date: 05/20/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	150,000	6.33	n/a	n/a	4,500.00	0.0
PRIMECAP MGMT	084	ACTV	B	5,000	6.14	n/a	n/a	150.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	AGN	S	10,024	99.91	n/a	16-May	320.77	0.0
LATEEF MGMT	033	ATI	S	500	30.48	n/a	14-May	50.00	0.0
BROADARCH CAP/OLD NEWC	070	AXLL	S	500	47.90	n/a	n/a	20.00	0.0
GEORGE WEISS	278	AXL	B	5,000	16.50	n/a	20-May	200.00	0.0
MASTERS CAPITAL MANAGE	025	BAC	S	100,000	13.49	n/a	15-May	4,000.00	0.0
MERRILL ASSET/BLACKROCK	297	BXP	S	2,200	112.30	n/a	n/a	88.00	0.0
KEY ASSET MGMT/VICTORY	220	COST	S	73,240	112.29	n/a	n/a	2,929.60	0.0
BROADARCH CAP/OLD NEWC	070	DOW	B	1,000	35.79	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	070	EBAY	S	3,000	55.81	n/a	n/a	120.00	0.0
PARAMETER CAPITAL MGMT LLC	044	ETN	B	25,490	68.04	n/a	2-May	764.70	0.0
STANDARD PACIFIC CAPITAL	084	ETN	S	88,000	68.01	n/a	2-May	4,400.00	0.0
T. ROWE PRICE	243	ETN	B	49,300	68.00	n/a	2-May	1,972.00	0.0
OSKIE CAPITAL MGMT	224	GM	B	30,000	33.85	n/a	20-May	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	GM	S	15,000	33.67	n/a	20-May	750.00	0.0
BROADARCH CAP/OLD NEWC	070	GOOG	B	100	915.23	n/a	n/a	4.00	0.0
BROADARCH CAP/OLD NEWC	070	GRA	B	500	80.49	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	070	HCA	S	2,000	38.29	n/a	n/a	80.00	0.0
S.A.C. CAPITAL	044	HD	B	50,000	76.73	n/a	n/a	1,500.00	0.0
SASCO	033	IP	S	4,250	47.49	n/a	15-May	148.75	0.0
BROADARCH CAP/OLD NEWC	070	JBHT	B	1,000	75.44	n/a	n/a	40.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	50,000	18.61	n/a	17-May	2,500.00	0.0
PARKWEST	084	JCP	B	100,000	18.65	n/a	17-May	3,000.00	0.0
MAPLE ROW	006	JNS	B	41,054	8.80	n/a	n/a	1,231.62	0.0
BROADARCH CAP/OLD NEWC	070	JPM	S	2,500	52.36	n/a	16-May	100.00	0.0
BRONSON POINT	036	JPM	SS	100,000	52.38	n/a	16-May	3,000.00	0.0
LATEEF MGMT	033	JPM	S	500	52.31	n/a	16-May	65.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	34.46	n/a	6-May	1,250.00	0.0
SASCO	033	MAS	S	4,950	22.31	n/a	n/a	173.25	0.0
PARAMETER CAPITAL MGMT LLC	044	MMM	B	15,000	111.28	n/a	n/a	450.00	0.0
MAPLE ROW	006	MTG	B	15,000	6.18	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	MWV	B	20,000	35.53	n/a	16-May	600.00	0.0
WAGONHOUND/NICOLAS	033	MWV	B	8,368	35.50	n/a	16-May	334.72	0.0
SASCO	033	NBR	S	11,900	17.08	n/a	n/a	416.50	0.0
SASCO	033	OI	S	7,250	28.97	n/a	n/a	253.75	0.0
SASCO	033	OKE	S	3,900	49.31	n/a	n/a	136.50	0.0
BNP PARIBAS SEC	040	PEP	SS	20,000	83.08	n/a	n/a	600.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PM	S	4,280	95.06	n/a	n/a	136.96	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	3,900	2.33	n/a	n/a	117.00	0.0
SASCO	033	RSG	S	6,200	35.02	n/a	n/a	217.00	0.0
SASCO	033	SEE	S	6,150	23.78	n/a	2-Jun	215.25	0.0
SASCO	033	TJX	S	3,000	51.47	n/a	9-May	105.00	0.0
ALLIANZ/NICOLAS APPLGATE	084	TXN	S	52,900	36.64	n/a	n/a	1,058.00	0.0
LATEEF MGMT	033	UN	S	500	42.11	n/a	n/a	60.00	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	25,000	44.74	n/a	n/a	750.00	0.0
BROADARCH CAP/OLD NEWC	070	VAL	B	1,000	74.05	n/a	n/a	40.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	VLO	B	20,000	41.91	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	WAL	S	58,359	14.90	n/a	n/a	2,334.36	0.0
BROADARCH CAP/OLD NEWC	070	WAT	B	1,000	98.24	n/a	n/a	40.00	0.0
LATEEF MGMT	033	WRI	S	750	35.15	n/a	n/a	75.00	0.0
LATEEF MGMT	033	XOM	S	500	92.37	n/a	n/a	75.00	0.0
BTG PACTUAL	040	YUM	B	10,000	70.32	n/a	20-May	300.00	0.0
CASTLEROCK	040	YUM	B	6,655	69.83	n/a	20-May	266.20	0.0
<b>TOTAL (Trade Date):</b>								<b>44,548.93</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/17	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	TPX	SS	100,000	47.57	n/a	n/a	3000.00 0.0
AO,CXL	05/17	ADAGE CAPITAL MGMT (ADAGCSFB)	030	TPX	SS	100,000	47.57	n/a	n/a	3000.00 0.0
AO,	05/17	SCOPIA CAPITAL (SCOACS)	025	WU	SS	226,628	16.65	n/a	n/a	9065.12 0.0
AO,CXL	05/17	SCOPIA CAPITAL (SCOABARC)	025	WU	SS	226,628	16.65	n/a	n/a	9065.12 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	44,548.93
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>44,548.93</b>
---------------------------------	------------------

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