



Daily Compliance Activity Report

Trade Date: 06/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	087	ABX	B	10,000	19.74	n/a	n/a	500.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	B	2,000	89.56	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	SS	1,500	88.91	n/a	n/a	60.00	0.0
BROADARCH CAP/OLD NEWC	006	AVGO	B	2,000	37.43	n/a	n/a	80.00	0.0
FARALLON CAP MGMT	040	AXP	S	50,000	72.98	n/a	14-Jun	2,000.00	0.0
SUFFOLK CAPITAL MGMT	040	BOBE	B	9,000	47.61	n/a	n/a	360.00	0.0
COOPER CREEK PART	028	BONT	S	487	21.28	n/a	24-May	0.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	BRP	S	11,000	22.68	n/a	n/a	330.00	0.0
MERRILL ASSET/BLACKROCK	085	COF	S	5,344	61.94	n/a	14-Jun	213.76	0.0
LATEEF MGMT	033	CTB	S	550	33.55	n/a	n/a	55.00	0.0
BROADARCH CAP/OLD NEWC	006	CTRX	B	1,000	54.03	n/a	n/a	40.00	0.0
FORTRESS INVESTMENT (US)	036	CX	SS	190,000	10.47	n/a	n/a	3,800.00	0.0
BROADARCH CAP/OLD NEWC	006	CYT	B	500	75.00	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	DD	B	1,500	53.65	n/a	n/a	60.00	0.0
SENATOR INVESTMENT GROUP	036	DD	B	125,000	52.70	n/a	n/a	3,750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIDE POINT CAPITAL	028	DLPH	B	20,000	51.04	n/a	n/a	600.00	0.0
BROADARCH CAP/OLD NEWC	006	DOW	B	5,000	34.44	n/a	n/a	200.00	0.0
BROADARCH CAP/OLD NEWC	006	EBAY	S	1,000	51.24	n/a	n/a	40.00	0.0
SCOGGIN LLC	041	ELN	B	12,232	13.66	n/a	n/a	611.60	0.0
BROADARCH CAP/OLD NEWC	006	EMN	B	1,500	71.34	n/a	n/a	60.00	0.0
COHE & STEERS	041	EQR	S	16,986	56.42	n/a	n/a	679.44	0.0
SUFFOLK CAPITAL MGMT	040	EXXI	B	11,100	24.84	n/a	n/a	444.00	0.0
SUFFOLK CAPITAL MGMT	040	FB	B	37,400	23.36	n/a	n/a	1,496.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	F	SS	40,200	15.36	n/a	13-Jun	1,206.00	0.0
NORTHWESTERN MUTUAL LIFE	047	GHL	B	16,421	47.33	n/a	n/a	656.84	0.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	14.98	n/a	n/a	400.00	0.0
TIDE POINT CAPITAL	028	GM	S	35,000	34.19	n/a	13-Jun	1,050.00	0.0
BROADARCH CAP/OLD NEWC	006	GOOG	B	200	883.80	n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	GPS	B	1,730	41.56	n/a	n/a	69.20	0.0
BROADARCH CAP/OLD NEWC	006	GRPN	S	5,000	7.75	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	HES	S	10,000	66.76	n/a	n/a	300.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	17.87	n/a	12-Jun	1,500.00	0.0
SCOPUS FUND	041	KSS	B	75,000	52.10	n/a	22-May	3,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LGF	C	13,000	27.67		n/a	n/a	390.00 0.0
COOPER CREEK PART	028	LPX	SS	10,000	16.92	n/a	14-Jun	0.00	0.0
BROADARCH CAP/OLD NEWC	006	LULU	B	1,500	66.07	n/a	13-Jun	60.00	0.0
RIVERLOFT CAPITAL	044	LYB	S	12,500	67.49	n/a	n/a	375.00	0.0
BROADARCH CAP/OLD NEWC	006	MAS	B	1,500	20.97	n/a	n/a	60.00	0.0
BROADARCH CAP/OLD NEWC	006	MCK	B	1,000	114.65	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	006	MON	SS	500	105.24	n/a	n/a	20.00	0.0
CAPITAL RESEARCH GROUP		296	MSFT	B	124,200	34.40	n/a	n/a	4,347.00 0.0
CAPITAL WORLD	084	MSFT	B	375,800	34.40	n/a	n/a	13,153.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NXTM	B	25,000	13.93	n/a	n/a	1,000.00	0.0
SANDLER O'NEILL ASSET	031	PBCT	SS	12,832	13.81	n/a	18-Apr	641.60	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	35,000	42.66	n/a	14-Jun	1,750.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	47.71	n/a	14-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	006	RKT	B	500	104.90	n/a	14-Jun	20.00	0.0
SENATOR INVESTMENT GROUP	036	TLM	B	215,000	11.55	n/a	n/a	6,450.00	0.0
BROADARCH CAP/OLD NEWC	006	TWX	B	1,000	57.86	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	006	VZ	B	1,000	51.23	n/a	n/a	40.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	10,500	21.14	n/a	n/a	315.00	0.0
SUFFOLK CAPITAL MGMT	040	WG	B	30,000	6.82	n/a	n/a	900.00	0.0
COOPER CREEK PART	028	WY	S	10,000	28.39	n/a	14-Jun	0.00	0.0
LAKEWOOD CAPITAL MGMT	085	XL	S	15,000	31.25	n/a	n/a	450.00	0.0
BROADARCH CAP/OLD NEWC	006	ZTS	B	1,000	31.15	n/a	n/a	40.00	0.0
TOTAL (Trade Date) :								55,461.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/13	JET CAPITAL/CHRIS (JETCWALL)	041	COV	B	5,210	63.96	n/a	n/a	156.30 0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCREDWOO)	041	COV	B	7,450	63.96	n/a	n/a	223.50 0.0
AO,CXL	06/13	JET CAPITAL/CHRIS (JETCMSBULK)	041	COV	B	100,000	63.96	n/a	n/a	4000.00 0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCMSBULK)	041	COV	B	80,570	63.96	n/a	n/a	2417.10 0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCGOLD)	041	COV	B	6,770	63.96	n/a	n/a	203.10 0.0
AO,CXL	06/13	BARROW HANLEY MEWHINNEY (BARR9707)	031	M	B	5,000	48.15	n/a	12-Jun	150.00 0.0
AO,	06/13	ROVER CAPITAL PARTNERS (ROVEGS)	040	M	B	5,000	48.15	n/a	12-Jun	200.00 0.0
AO,	06/13	KING STREET CAPITAL (KINGJPM)	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00 0.0
AO,CXL	06/13	KING STREET CAPITAL (KINGGS)	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00 0.0

TOTAL (AO, CXL, CRT) :	-950.00
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TOTAL (Trade Date) :	55,461.44
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TOTAL (RUN DATE) / NFS :	54,511.44
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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