



Daily Compliance Activity Report

Trade Date: 07/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	2,500	34.75	n/a	n/a	100.00	0.0
IRIDIAN ASSET MGMT.	036	ADT	S	70,480	39.68	n/a	n/a	3,524.00	0.0
FRONTIER	029	ATML	B	99,070	7.46	n/a	n/a	2,972.10	0.0
RIDGECREST INV MGMT LLC	028	AXL	S	22,000	19.10	n/a	19-Jun	880.00	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	19.51	n/a	19-Jun	250.00	0.0
SIGMA CAP BOBBY	044	AXL	SS	3,047	19.43	n/a	19-Jun	91.41	0.0
LATEEF MGMT	033	BBT	S	225	34.53	n/a	n/a	31.50	0.0
ACK ASSET	028	CSX	SS	75,000	23.02	n/a	n/a	2,250.00	0.0
NEWLAND CAPITAL MGT	025	CVO	S	50,000	2.06	n/a	n/a	1,500.00	0.0
GOLD SACHS SPECIAL SIT	030	DAN	S	50,000	20.31	n/a	19-Jun	2,500.00	0.0
MAPLE ROW	006	DAN	B	2,500	20.02	n/a	19-Jun	125.00	0.0
MELLON/BANK OF NEW YORK	046	DIS	S	150,080	63.41	n/a	n/a	6,003.20	0.0
STATE OF WISCONSIN	047	DTV	S	29,561	62.23	n/a	n/a	1,182.44	0.0
GABELLI FUNDS	025	EBAY	B	10,000	53.60	n/a	n/a	500.00	0.0
PRIMECAP MGMT	084	FARO	B	241	34.60	n/a	n/a	9.64	0.0
KENNEDY CAPITAL	046	FINL	B	4,872	21.50	n/a	19-Jun	194.88	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	FL	SS	25,000	35.83	n/a	19-Jun	1,000.00	0.0
BRONSON POINT	036	GM	S	50,000	34.51	n/a	19-Jun	1,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	34.57	n/a	19-Jun	300.00	0.0
SEVEN LOCKS CAPITAL	025	HNR	B	25,000	3.41	n/a	n/a	750.00	0.0
PRIMECAP MGMT	084	INTC	S	1,000	23.67	n/a	n/a	40.00	0.0
EPOCH INV MGMT	030	IP	B	288,190	45.52	n/a	17-Jun	8,645.70	0.0
SCOPUS FUND	041	JCP	B	40,000	16.87	n/a	18-Jun	1,600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LIFE	B	20,000	74.09		n/a	n/a	600.00 0.0
PRIMECAP MGMT	084	LLY	B	2,500	50.43	n/a	n/a	100.00	0.0
DISIPLINED GROWTH INV.	030	LTD	S	1,000	49.86	n/a	n/a	50.00	0.0
DISIPLINED GROWTH INV.	030	MIDD	S	300	173.60	n/a	n/a	15.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	32.81	n/a	13-May	400.00	0.0
STATE OF WISCONSIN	047	NWSA	S	67,283	15.05	n/a	n/a	2,691.32	0.0
SEVEN LOCKS CAPITAL	025	ONXX	B	14,000	133.44	n/a	n/a	420.00	0.0
CLEARLINE CAPITAL LLC	040	PAY	B	40,000	16.92	n/a	n/a	1,200.00	0.0
MELLON/BANK OF NEW YORK	046	PVH	B	68,338	126.88	n/a	14-Jun	2,733.52	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	QGEN	B	3,686	19.94	n/a	n/a	147.44	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	800	34.14	n/a	n/a	40.00	0.0
GOLD SACHS SPECIAL SIT	030	SRI	S	20,219	12.10	n/a	n/a	1,010.95	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,400	50.51	n/a	18-Jun	170.00	0.0
KADE CAPITAL LLC	028	ULTA	B	7,500	97.00	n/a	n/a	375.00	0.0
STATE OF WISCONSIN	047	ULTA	S	138,000	97.15	n/a	n/a	5,520.00	0.0
PRIMECAP MGMT	084	WAT	B	3,500	100.96	n/a	n/a	140.00	0.0
TOTAL (Trade Date):								51,563.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/02	NEWLAND CAPITAL MGT (NEWLGS)	025	CVO	S	50,000	2.06	n/a	n/a	1500.00 0.0
AO,CXL	07/01	LISTED ERR (LISTED ERR)	099	JCP	B	339	16.68	n/a	18-Jun	16.95 0.0
AO,CXL	07/01	LISTED ERR (LISTED ERR)	030	JCP	S	339	16.71	n/a	18-Jun	0.00 0.0
AO,	07/01	SURVEYOR CAPITAL (SURVBPLDN)	251	JCP	SS	15,516	16.70	n/a	18-Jun	465.48 0.0
AO,	07/01	SURVEYOR CAPITAL (SURVBPLDN)	251	JCP	SS	34,484	16.70	n/a	18-Jun	1034.52 0.0
AO,CXL	07/01	SURVEYOR CAPITAL (SURVSURVSB)	251	JCP	SS	34,484	16.70	n/a	18-Jun	1034.52 0.0
AO,CXL	07/01	SURVEYOR CAPITAL (SURVSURVSB)	251	JCP	SS	15,516	16.70	n/a	18-Jun	465.48 0.0
AO,CXL	07/01	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	LULU	B	60,000	66.48	n/a	19-Jun	1800.00 0.0
AO,	07/01	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	LULU	B	49,541	66.48	n/a	19-Jun	1486.23 0.0
AO,	07/01	ADAGE CAPITAL MGMT (ADAGCSFB)	030	LULU	B	10,459	66.48	n/a	19-Jun	313.77 0.0
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONIDB)	041	NYT	SS	40,200	11.50	n/a	n/a	1206.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	NYT	SS	87,000	11.50	n/a	n/a	2610.00 0.0
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	NYT	SS	46,800	11.50	n/a	n/a	1404.00 0.0
AO,	06/28	P.SCHOENFELD ASSET MGMT LLC (PSAMJPMS)	041	TWTC	B	30,000	28.29	n/a	n/a	1200.00 0.0
AO,CXL	06/28	P.SCHOENFELD ASSET MGMT LLC (PSAMDB)	041	TWTC	B	50,000	28.29	n/a	n/a	1500.00 0.0
AO,	06/28	P.SCHOENFELD ASSET MGMT LLC (PSAMMSCO)	041	TWTC	B	20,000	28.29	n/a	n/a	800.00 0.0
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONIDB)	041	TWX	SS	15,400	58.55	n/a	n/a	462.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	TWX	SS	19,000	58.55	n/a	n/a	570.00 0.0
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	TWX	SS	3,600	58.55	n/a	n/a	108.00 0.0
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONIDB)	041	VIAB	SS	11,500	68.20	n/a	n/a	345.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	VIAB	SS	16,500	68.20	n/a	n/a	495.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,	07/01	IONIC CAPITAL MANAGEMENT (IONICS)	041	VIAB	SS	5,000	68.20	n/a	n/a	150.00	0.0
TOTAL (AO, CXL, CRT) :										1,983.05	
TOTAL (Trade Date) :										51,563.10	
TOTAL (AO, CXL, CRT) :										1,983.05	
TOTAL (RUN DATE) / NFS:										53,546.15	

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