



Daily Compliance Activity Report

Trade Date: 05/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL MGMT LLC040		APOL	S	22,316	21.34	n/a	n/a	669.48	0.0
WADDELL AND REED	047	ARUN	S	400,600	12.91	n/a	n/a	16,024.00	0.0
KEY ASSET MGMT/VICTORY	220	BRCM	B	257,780	37.33	n/a	n/a	10,311.20	0.0
BRIGADE CAPITAL MGMT	029	BZH	S	25,000	22.00	n/a	n/a	750.00	0.0
PRIMECAP MGMT	084	CCL	S	3,800	34.90	n/a	n/a	152.00	0.0
FEIN	084	DSW	B	20,000	69.58	n/a	11-Feb	600.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	S	8,390	23.98	n/a	9-May	293.69	0.0
TRELLUS PARTNERS LP	028	F	SS	10,000	14.85	n/a	16-May	300.00	0.0
WHITE PINE CAPITAL	030	GIS	S	4,100	50.04	n/a	n/a	205.00	0.0
FEIN	084	GM	B	30,000	33.21	n/a	16-May	900.00	0.0
ROSEDALE CAPITAL	046	INTC	S	10,000	23.99	n/a	n/a	400.00	0.0
BRONSON POINT	036	IP	B	25,000	48.14	n/a	15-May	750.00	0.0
TIDE POINT CAPITAL	028	JCI	B	40,000	37.30	n/a	6-May	1,200.00	0.0
PARKWEST	084	JCP	B	20,000	17.73	n/a	17-May	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	JOSB	B	20,000	45.72	n/a	n/a	600.00	0.0
CRAMER ROSENTHAL	070	KORS	B	10,000	60.15	n/a	22-Apr	400.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	20,106	34.53	n/a	6-May	1,005.30	0.0
KEY ASSET MGMT/VICTORY	220	MCHP	S	293,950	36.97	n/a	n/a	11,758.00	0.0
PATTEN & PATTEN	025	MMM	S	100	111.30	n/a	n/a	5.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MWV	B	7,600	35.44		n/a 16-May	152.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	2,500	35.82	n/a	16-May	100.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.82	n/a	13-May	400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NUAN	B	2,500	18.60		n/a n/a	50.00	0.0
PARAMETER CAPITAL MGMT LLC	044	PNR	S	15,000	58.06	n/a	n/a	450.00	0.0
PATTEN & PATTEN	025	PNR	S	62	57.78	n/a	n/a	3.10	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	4,735	2.35	n/a	n/a	142.05	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	SAI	S	181,193	15.48	n/a	n/a	5,798.18	0.0
M&I FUNDS	047	SSI	B	5,200	24.13	n/a	17-May	208.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	SSI	C	3,100	24.29	n/a	17-May	155.00 0.0
HERRING CREEK CAPITAL MGMT LLC	040	SWFT	C	21,000	16.83	n/a	n/a	630.00	0.0
ACK ASSET	028	TCP	S	5,000	44.30	n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CLEARLINE CAPITAL LLC	040	TDS	S	6,000	23.68	n/a	n/a	180.00	0.0
ADAGE CAPITAL MGMT	030	TPX	SS	100,000	47.57	n/a	n/a	3,000.00	0.0
TIDE POINT CAPITAL	028	TRW	B	15,000	62.80	n/a	n/a	450.00	0.0
PATTEN & PATTEN	025	TYC	S	261	34.08	n/a	26-Apr	13.05	0.0
ADAGE CAPITAL MGMT	030	T	S	380,000	37.26	n/a	n/a	11,400.00	0.0
SCOPIA CAPITAL	025	WU	SS	226,628	16.65	n/a	n/a	9,065.12	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	B	50,000	69.46	n/a	13-May	1,500.00	0.0
TOTAL (Trade Date) :								80,970.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		CBB	B	85,000	3.62	n/a	n/a	2550.00 0.0
AO,CRT	05/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		CBB	B	85,000	3.62	n/a	n/a	1700.00 2.0
AO,CXL	05/16	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	10,000	14.79	n/a	16-May	400.00 0.0
AO,	05/16	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	10,000	14.79	n/a	16-May	300.00 0.0
AO,CXL	05/16	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		FSL	B	150,000	16.75	n/a	n/a	4500.00 0.0
AO,CRT	05/16	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		FSL	B	150,000	16.75	n/a	n/a	3000.00 2.0
AO,	05/08	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU) 044		NCT	B	286,500	5.20	n/a	n/a	5730.00 2.0
AO,CXL	05/08	LOCUST WOOD CAPITAL MGMT (LOCOMSLOCU) 044		NCTWI	B	286,500	0.00	n/a	n/a	5730.00 2.0
AO,CXL	05/16	FIRST NEW YORK NICK (FNYNJPMBS)	029	NOK	S	20,000	3.75	n/a	n/a	1000.00 0.0
AO,CRT	05/16	FIRST NEW YORK NICK (FNYNJPMBS)	029	NOK	S	20,000	3.75	n/a	n/a	800.00 0.0
AO,CXL	05/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	74,600	2.21	n/a	n/a	2238.00 0.0
AO,CRT	05/15	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	74,600	2.21	n/a	n/a	1492.00 2.0
AO,CXL	05/16	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	25,300	2.35	n/a	n/a	759.00 0.0
AO,CRT	05/16	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	25,300	2.35	n/a	n/a	506.00 2.0
AO,	05/16	COLUMBUS CIRCLE (COLC3050)	036	SUSS	S	2,286	50.25	n/a	n/a	91.44 0.0
TOTAL (AO, CXL, CRT) :										-3,557.56

TOTAL (Trade Date):	80,970.17
TOTAL (AO, CXL, CRT):	-3,557.56

TOTAL (RUN DATE) / NFS:	77,412.61
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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