



Daily Compliance Activity Report

Trade Date: 05/31/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	ADM	B	25,000	32.58	n/a	n/a	750.00	0.0
FOCUSED INVESTORS	084	AET	S	1,100	61.72	n/a	n/a	44.00	0.0
MILLRACE FUND LP	028	ALV	SS	5,000	79.45	n/a	20-May	200.00	0.0
PATTEN & PATTEN	025	APA	B	200	84.25	n/a	31-May	10.00	0.0
NOKOMIS PARTNERS	031	AVG	S	369	18.40	n/a	n/a	11.07	0.0
FOCUSED INVESTORS	084	AXP	S	4,300	76.89	n/a	31-May	172.00	0.0
PATTEN & PATTEN	025	BA	B	35	100.56	n/a	28-May	1.75	0.0
FOCUSED INVESTORS	084	BDX	S	1,400	100.37	n/a	n/a	56.00	0.0
PECONIC PARTNERS	036	BHI	SS	100,000	45.79	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	CBI	B	150	64.29	n/a	n/a	7.50	0.0
CR INTRINIC INVESTMENT	044	CFX	SS	5,000	49.94	n/a	n/a	150.00	0.0
CHART WELL ADV	028	CIT	S	33,823	47.10	n/a	31-May	1,352.92	0.0
DENVER INST. ADV	046	CMG	B	5,750	369.35	n/a	28-May	230.00	0.0
CR INTRINIC INVESTMENT	044	CNW	SS	10,000	38.50	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		CSCO	S	500	24.4900	n/a	26-Feb	0.00	0.0
FOCUSED INVESTORS	084	CVS	S	3,900	58.76	n/a	n/a	156.00	0.0
FEIN	084	DKS	B	5,000	52.58	n/a	30-May	150.00	0.0
PATTEN & PATTEN	025	DLR	B	50	61.20	n/a	n/a	2.50	0.0
INTERVAL PARTNERS	033	DLTR	SS	44,000	49.12	n/a	24-May	1,320.00	0.0
OZ MGMT	040	DLTR	SS	100,000	49.01	n/a	24-May	3,000.00	0.0
T. ROWE PRICE	243	DLTR	B	110,100	49.05	n/a	24-May	4,404.00	0.0
PATTEN & PATTEN	025	EEM	B	100	41.45	n/a	n/a	5.00	0.0
RAINIER INV MGMT	033	EOG	B	51,830	131.54	n/a	n/a	2,073.20	0.0
METROPOLITAN CAPITAL	044	FINL	S	25,000	21.00	n/a	30-May	1,250.00	0.0
FEIN	084	FINL	B	34,000	21.20	n/a	30-May	1,020.00	0.0
HARVEST MGMT (JMP)	029	FL	B	10,000	34.39	n/a	30-May	400.00	0.0
METROPOLITAN CAPITAL	044	FL	B	15,400	34.31	n/a	30-May	770.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	50,000	15.86	n/a	31-May	1,500.00	0.0
MACELLUM CAPITAL	086	GES	SS	90,450	31.88	n/a	31-May	2,713.50	0.0
Õ May Tang		GLD	B	62134	8.300	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GM	S	50,000	34.52	n/a	31-May	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	GRPN	B	75,000	7.66	n/a	n/a	3,000.00	0.0
FOCUSED INVESTORS	084	GS	S	1,300	164.90	n/a	6-May	52.00	0.0
Õ May Tang		GS	S	100163	8500	n/a	6-May	0.00	0.0
FOCUSED INVESTORS	084	IBM	S	1,500	211.63	n/a	n/a	60.00	0.0
HIGHLINE ADV	044	INTC	SS	400,000	24.48	n/a	n/a	20,000.00	0.0
FOCUSED INVESTORS	084	JNJ	S	2,900	85.27	n/a	n/a	116.00	0.0
FOCUSED INVESTORS	084	JPM	S	3,900	55.25	n/a	30-May	156.00	0.0
SANDLER O'NEILL ASSET	031	JPM	B	100,000	55.52	n/a	30-May	5,000.00	0.0
FOCUSED INVESTORS	084	KO	S	6,100	40.37	n/a	23-May	244.00	0.0
PAR CAPITAL	268	LUV	SS	75,000	14.30	n/a	20-May	3,000.00	0.0
SURVEYOR CAPITAL	251	LUV	B	28,560	14.30	n/a	20-May	856.80	0.0
CLEARLINE CAPITAL LLC	040	MASI	SS	3,300	21.77	n/a	n/a	99.00	0.0
FOCUSED INVESTORS	084	MCD	S	3,100	97.30	n/a	20-May	124.00	0.0
BRIGADE CAPITAL MGMT	029	MEOH	B	15,000	44.17	n/a	n/a	450.00	0.0
KENNEDY CAPITAL	046	MFB	B	100,000	18.28	n/a	n/a	4,000.00	0.0
HIGHFIELDS CAP MGMT	030	MHFI	B	250,357	54.87	n/a	n/a	7,510.71	0.0
FOCUSED INVESTORS	084	MMM	S	1,400	112.11	n/a	n/a	56.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
TRUSTCO/SUNTRUST (CEREDEX)	273	MON	B	10,406	101.71		n/a	n/a	332.99	0.0
FOCUSED INVESTORS	084	MSFT	S	8,700	35.16		n/a	n/a	348.00	0.0
FOCUSED INVESTORS	084	MS	S	4,800	26.21		n/a	6-May	192.00	0.0
PATTEN & PATTEN	025	MS	B	250	26.29		n/a	6-May	12.50	0.0
PATTEN & PATTEN	025	MWV	B	225	35.43		n/a	29-May	11.25	0.0
PATTEN & PATTEN	025	NEE	B	250	76.35		n/a	n/a	12.50	0.0
FOCUSED INVESTORS	084	NKE	S	2,600	62.76		n/a	30-May	104.00	0.0
PATTEN & PATTEN	025	NKE	B	125	62.74		n/a	30-May	6.25	0.0
PATTEN & PATTEN	025	ORCL	B	300	34.37		n/a	n/a	15.00	0.0
CR INTRINIC INVESTMENT	044	PCAR	SS	10,000	54.14		n/a	n/a	300.00	0.0
FOCUSED INVESTORS	084	PEP	S	4,000	81.29		n/a	n/a	160.00	0.0
FOCUSED INVESTORS	084	PFE	S	5,100	27.58		n/a	n/a	204.00	0.0
PATTEN & PATTEN	025	PFE	B	100	27.74		n/a	n/a	5.00	0.0
FOCUSED INVESTORS	084	PG	S	2,000	77.24		n/a	28-May	80.00	0.0
BALYASNY ASSET MGMT	044	PNR	B	20,000	59.45		n/a	n/a	1,000.00	0.0
PARAMETER CAPITAL MGMT LLC	044	PNR	S	10,000	59.30		n/a	n/a	300.00	0.0
DENVER INST. ADV	046	REGN	B	5,400	251.12		n/a	n/a	216.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PROVIDENCE EQUITY CAP. MKTS.040		ROIAK	B	41,634	2.33	n/a	n/a	832.68	0.0	
BASSWOOD PARTNERS	267	SNV	B	235,800	2.75	n/a	n/a	7,074.00	0.0	
STRONG/MARK GRONET	030	SSI	B	39,130	22.96	n/a	21-May	1,565.20	0.0	
DAVIDSON KEMPNER ADVISOR	040	STZ	B	65,000	53.76	n/a	23-May	1,950.00	0.0	
PATTEN & PATTEN	025	SWN	B	250	38.31	n/a	31-May	12.50	0.0	
PATTEN & PATTEN	025	TFM	B	100	49.78	n/a	n/a	5.00	0.0	
FOCUSED INVESTORS	084	UNH	S	1,200	63.45	n/a	n/a	48.00	0.0	
PATTEN & PATTEN	025	WBC	S	100	76.68	n/a	31-May	5.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC025		WCN	S	22,005	40.50		n/a	n/a	880.20	0.0
FOCUSED INVESTORS	084	WFC	S	4,700	41.26	n/a	6-May	188.00	0.0	
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	6,500	20.92		n/a	n/a	195.00	0.0
FOCUSED INVESTORS	084	WLP	S	1,300	77.91	n/a	n/a	52.00	0.0	
FOCUSED INVESTORS	084	WMT	S	5,000	75.24	n/a	16-May	200.00	0.0	
S.A.C. CAPITAL	044	WMT	SS	50,000	75.19	n/a	16-May	1,500.00	0.0	
PATTEN & PATTEN	025	WY	B	400	30.19	n/a	31-May	20.00	0.0	
SCOPUS FUND	041	WY	B	18,500	29.80	n/a	31-May	740.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	XLE	SS	15,000	81.69	n/a	n/a	450.00	0.0
FOCUSED INVESTORS	084	ZMH	S	1,500	79.95	n/a	n/a	60.00	0.0
TOTAL (Trade Date):								93,351.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/30	TIDE POINT CAPITAL (TIDEMS)	028	DAN	B	25,000	19.24	n/a	20-May	750.00 0.0
AO,	05/30	TIDE POINT CAPITAL (TIDEMS)	028	DAN	B	25,000	19.24	n/a	20-May	750.00 0.0
AO,CRT	05/03	T. ROWE PRICE (TROW4637)	243	DWRE	S	10,000	28.58	n/a	n/a	400.00 4.0
AO,CRT	05/03	T. ROWE PRICE (TROW4807)	243	DWRE	S	10,000	28.58	n/a	n/a	400.00 4.0
AO,CRT	05/03	T. ROWE PRICE (TROW4747)	243	DWRE	S	10,704	28.58	n/a	n/a	428.16 4.0
AO,CXL	05/03	T. ROWE PRICE (TROW4637)	028	DWRE	S	10,000	28.58	n/a	n/a	400.00 0.0
AO,CXL	05/03	T. ROWE PRICE (TROW4807)	028	DWRE	S	10,000	28.58	n/a	n/a	400.00 0.0
AO,CXL	05/03	T. ROWE PRICE (TROW4747)	028	DWRE	S	10,704	28.58	n/a	n/a	428.16 0.0
AO,CXL	05/30	TIDE POINT CAPITAL (TIDEMS)	028	JCI	S	20,000	37.83	n/a	6-May	600.00 0.0
AO,	05/30	TIDE POINT CAPITAL (TIDEMS)	028	JCI	S	20,000	37.83	n/a	6-May	600.00 0.0
AO,CXL	05/24	SANDLER O'NEILL ASSET (SANOJPMBS)	028	LAZ	B	3,400	33.00	n/a	6-May	170.00 0.0
AO,CXL	05/24	SANDLER O'NEILL ASSET (SANO)	028	LAZ	B	10,039	33.00	n/a	6-May	501.95 0.0
AO,CRT	05/24	SANDLER O'NEILL ASSET (SANOJPMBS)	031	LAZ	B	3,400	33.00	n/a	6-May	170.00 5.0
AO,CRT	05/24	SANDLER O'NEILL ASSET (SANO)	031	LAZ	B	10,039	33.00	n/a	6-May	501.95 5.0
AO,CXL	05/30	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	IAK	B	106,700	2.34	n/a	n/a	3201.00 0.0
AO,CRT	05/30	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	IAK	B	106,700	2.34	n/a	n/a	2134.00 2.0
TOTAL (AO, CXL, CRT) :										-1,067.00

TOTAL (Trade Date):	93,351.02
TOTAL (AO, CXL, CRT):	-1,067.00

TOTAL (RUN DATE) / NFS:

92,284.02

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