

## **Daily Compliance Activity Report** Trade Date: 07/25/2013

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
SCOPUS FUND	041	AXL	S	115,000	18.93	n/a	19-Jun	4,600.00	0.0
KEYGROUP/KGLT	040	ВНІ	S	25 <b>,</b> 000	47.32	n/a	n/a	1,000.00	0.0
BLACKTHORN	047	BK	В	30,000	31.82	n/a	6-Jun	1,500.00	0.0
ROTHSCHILD ASSET	040	CMS	S	62,867	28.11	n/a	n/a	2,514.68	0.0
LOMAS CAPITAL	040	CNW	В	9,700	39.52	n/a	n/a	291.00	0.0
BESSEMER INVESTMENT	085	COL	В	17,291	71.04	n/a	11-Jun	691.64	0.0
LOMAS CAPITAL	040	CSX	SS	60,000	24.81	n/a	n/a	1,800.00	0.0
S.A.C. CAPITAL	044	CX	В	15,000	11.56	n/a	n/a	450.00	0.0
FIRST NY SEC/CHRIS	041	DAL	В	15,000	21.23	n/a	18-Jun	750.00	0.0
BASSWOOD PARTNERS	267	DAN	В	54,200	21.26	n/a	19-Jun	1,626.00	0.0
J. GOLDMAN	028	DDS	В	5,000	81.72	n/a	n/a	200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DDS	SS	25,000	81.84	n/a	n/a	750.00	0.0
BALYASNY ASSET MGMT	044	FL	С	35,000	35.90	n/a	19-Jun	1,750.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	С	20,000	17.01	n/a	19-Jun	600.00	0.0
SCOPUS FUND	041	F	SS	100,000	16.95	n/a	19-Jun	4,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
BRONSON POINT	036	GM	В	50,000	36.91	n/a	19-Jun	1,500.00	0.0	
CAERUS GLOBAL	041	GM	В	25,000	37.35	n/a	19-Jun	1,000.00	0.0	
PATRIOT STRATEGY PARTNERS	036	GM	В	20,000	36.81	n/a	19-Jun	800.00	0.0	
S.A.C. CAPITAL	044	GM	В	25,000	36.90	n/a	19-Jun	750.00	0.0	
VERITION	028	GM	В	10,000	36.78	n/a	19-Jun	300.00	0.0	
ROYSTONE CAPITAL	040	GNTX	В	51,500	21.69	n/a	19-Jun	1,545.00	0.0	
CAMBIAR CAP	046	GPI	В	1,800	68.61	n/a	19-Jun	72.00	0.0	
BRONSON POINT	036	GT	В	50,000	16.76	n/a	n/a	1,500.00	0.0	
BRONSON POINT	036	HAL	В	25,000	44.74	n/a	n/a	750.00	0.0	
ROXBURY CAPITAL (HOOD RIVE	ER CAP)	033 НВ	I	S 9'	7,235 58.54		n/a	3-May 3,8	89.40	0.0
SCOPUS FUND	041	HBI	В	10,000	58.49	n/a	3-May	400.00	0.0	
CR INTRINSIC/CHRIS C	041	HTZ	S	15,000	26.75	n/a	n/a	450.00	0.0	
SENATOR INVESTMENT GROUP	287	HUN	В	54,395	17.77	n/a	n/a	1,631.85	0.0	
BARROW HANLEY MEWHINNEY	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	В	10,000	47.00	n/a	17-Jun	500.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	SS	5,000	49.59	n/a	17-Jun	250.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	S	43,000	48.68	n/a	17-Jun	2,150.00	0.0	
SCOPUS FUND	041	IP	S	25,000	50.04	n/a	17-Jun	1,000.00	0.0	
LISTED ERR	099	IP	В	5,300	50.09	n/a	17-Jun	0.00	0.0	
LISTED ERR	099	IP	S	5,300	50.09	n/a	17-Jun	0.00	0.0	
S.A.C. CAPITAL	044	ITB	В	116,320	21.62	n/a	n/a	3,489.60	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
S.A.C. CAPITAL	044	IYR	В	13,000	67.84	n/a	n/a	390.00	0.0
BALYASNY ASSET MGMT	044	KSS	С	75 <b>,</b> 000	53.36	n/a	18-Jun	3,750.00	0.0
SCOPUS FUND	041	LAD	S	5,000	58.69	n/a	n/a	200.00	0.0
FARALLON CAP MGMT	040	LCC	SS	134,720	18.68	n/a	18-Jun	4,041.60	0.0
J. GOLDMAN	028	LCC	S	30,000	18.50	n/a	18-Jun	1,200.00	0.0
TALON ASSET MGMT.	006	LCC	В	5,000	18.79	n/a	18-Jun	250.00	0.0
TIDE POINT CAPITAL	028	LEA	В	10,000	65.70	n/a	19-Jun	300.00	0.0
TIEDEMANN/TIG ADVISORS LI	C006	LEN	В	18,500	33.36	n/a	n/a	555.00	0.0
CR INTRINIC INVESTMENT	044	LPX	В	41,800	16.61	n/a	19-Jun	1,254.00	0.0
FIRST NY SEC/CHRIS	041	LUV	В	15,000	13.40	n/a	18-Jun	750.00	0.0
COLUMBUS CIRCLE	036	MDVN	S	8,400	55.44	n/a	n/a	336.00	0.0
HERRING CREEK CAPITAL MGM	IT LLC040	MSG	С	8,5	35 60.26	r	n/a n/a	256.	05 0.0
J. GOLDMAN	028	M	В	15,000	47.77	n/a	18-Jun	600.00	0.0
RIVERLOFT CAPITAL	044	NCT	В	25,000	5.70	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	NEE	S	600	83.96	n/a	n/a	30.00	0.0
IRIDIAN ASSET MGMT.	036	OCR	S	27 <b>,</b> 670	53.21	n/a	n/a	1,383.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
KAM ADVISORS LLC	041	PIR	В	103,365	23.37	n/a	n/a	3,100.95	0.0
PRIMECAP MGMT	084	QGEN	В	5,000	20.84	n/a	n/a	200.00	0.0
HIGHFIELDS CAP MGMT	030	RSH	S	169,323	2.72	n/a	n/a	1,693.23	0.0
DPB CAPITAL	029	SIRI	В	5,000	3.74	n/a	n/a	250.00	0.0
SCOPUS FUND	041	SSI	В	25,000	24.12	n/a	18-Jun	1,000.00	0.0
BLACKTHORN	047	STT	В	10,000	69.29	n/a	17-Jun	500.00	0.0
BESSEMER INVESTMENT	085	TEN	S	77,700	48.82	n/a	n/a	3,108.00	0.0
J. GOLDMAN	028	TGT	В	25,000	71.73	n/a	23-May	1,000.00	0.0
SANDLER CAPITAL	028	TJX	S	270,000	51.53	n/a	18-Jun	13,500.00	0.0
J. GOLDMAN	028	UA	В	85 <b>,</b> 000	68.66	n/a	19-Jun	3,400.00	0.0
SURVEYOR CAPITAL	251	UA	SS	40,929	69.00	n/a	19-Jun	1,637.16	0.0
SOROS	036	VLO	С	100,000	35.82	n/a	n/a	4,000.00	0.0
FARALLON CAP MGMT	040	VNTV	В	164,300	26.23	n/a	11-Jun	6,572.00	0.0
WINSLOW CAPITAL	030	WFC	S	965,000	43.61	n/a	6-Jun	28,950.00	0.0
S.A.C. CAPITAL	044	XLI	В	27,591	44.98	n/a	n/a	827.73	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,400	397.20	n/a	n/a	96.00	0.0
	KAM ADVISORS LLC  PRIMECAP MGMT  HIGHFIELDS CAP MGMT  DPB CAPITAL  SCOPUS FUND  BLACKTHORN  BESSEMER INVESTMENT  J. GOLDMAN  SANDLER CAPITAL  J. GOLDMAN  SURVEYOR CAPITAL  SOROS  FARALLON CAP MGMT  WINSLOW CAPITAL  S.A.C. CAPITAL	KAM ADVISORS LLC 041  PRIMECAP MGMT 084  HIGHFIELDS CAP MGMT 030  DPB CAPITAL 029  SCOPUS FUND 041  BLACKTHORN 047  BESSEMER INVESTMENT 085  J. GOLDMAN 028  SANDLER CAPITAL 028  J. GOLDMAN 028  SURVEYOR CAPITAL 251  SOROS 036  FARALLON CAP MGMT 040  WINSLOW CAPITAL 030  S.A.C. CAPITAL 044	KAM ADVISORS LLC  PRIMECAP MGMT  084  QGEN  HIGHFIELDS CAP MGMT  030  RSH  DPB CAPITAL  029  SIRI  SCOPUS FUND  041  SSI  BLACKTHORN  047  STT  BESSEMER INVESTMENT  085  TEN  J. GOLDMAN  028  TJX  J. GOLDMAN  SURVEYOR CAPITAL  SOROS  036  VLO  FARALLON CAP MGMT  040  VNTV  WINSLOW CAPITAL  030  WFC  S.A.C. CAPITAL  044  XLI	KAM ADVISORS LLC  041  PIR  B  PRIMECAP MGMT  084  QGEN  B  HIGHFIELDS CAP MGMT  030  RSH  S  DPB CAPITAL  029  SIRI  B  SCOPUS FUND  041  SSI  B  BLACKTHORN  047  STT  B  BESSEMER INVESTMENT  085  TEN  S  J. GOLDMAN  028  TGT  B  SANDLER CAPITAL  028  TJX  S  J. GOLDMAN  028  TJX  S  SOROS  036  VLO  C  FARALLON CAP MGMT  040  VNTV  B  WINSLOW CAPITAL  030  WFC  S  S.A.C. CAPITAL  044  XLI  B	KAM ADVISORS LLC       041       PIR       B       103,365         PRIMECAP MGMT       084       QGEN       B       5,000         HIGHFIELDS CAP MGMT       030       RSH       S       169,323         DPB CAPITAL       029       SIRI       B       5,000         SCOPUS FUND       041       SSI       B       25,000         BLACKTHORN       047       STT       B       10,000         BESSEMER INVESTMENT       085       TEN       S       77,700         J. GOLDMAN       028       TGT       B       25,000         SANDLER CAPITAL       028       TJX       S       270,000         J. GOLDMAN       028       UA       B       85,000         SURVEYOR CAPITAL       251       UA       SS       40,929         SOROS       036       VLO       C       100,000         FARALLON CAP MGMT       040       VNTV       B       164,300         WINSLOW CAPITAL       030       WFC       S       965,000         S.A.C. CAPITAL       044       XLI       B       27,591	Name advisors lic   041   Pir   B   103,365   23.37	KAM ADVISORS LIC         041         PIR         B         103,365         23.37         n/a           PRIMECAP MGMT         084         QGEN         B         5,000         20.84         n/a           HIGHFIELDS CAP MGMT         030         RSH         S         169,323         2.72         n/a           DPB CAPITAL         029         SIRI         B         5,000         3.74         n/a           SCOPUS FUND         041         SSI         B         25,000         24.12         n/a           BLACKTHORN         047         STT         B         10,000         69.29         n/a           BESSEMER INVESIMENT         085         TEN         S         77,700         48.82         n/a           J. GOLDMAN         028         TGT         B         25,000         71.73         n/a           SANDLER CAPITAL         028         TJX         S         270,000         51.53         n/a           J. GOLDMAN         028         UA         B         85,000         68.66         n/a           SURVEYOR CAPITAL         251         UA         SS         40,929         69.00         n/a           WINSLOW CAPITAL         040	KAM ADVISORS LLC 041 FIR B 103,365 23.37 n/a n/a n/a  PRIMECAP MGMT 084 QGEN B 5,000 20.84 n/a n/a  HIGHFIELDS CAP MGMT 030 RSH S 169,323 2.72 n/a n/a  DPB CAPITAL 029 SIRI B 5,000 3.74 n/a 18-Jun  SCOPUS FUND 041 SSI B 25,000 24.12 n/a 18-Jun  BLACKTHORN 047 STT B 10,000 69.29 n/a 17-Jun  BESSEMER INVESTMENT 085 TEN S 77,700 48.82 n/a n/a  J. GOLDMAN 028 TGT B 25,000 71.73 n/a 23-May  SANDLER CAPITAL 028 TJX S 270,000 51.53 n/a 18-Jun  J. GOLDMAN 028 TGT B 85,000 68.66 n/a 19-Jun  SURVEYOR CAPITAL 251 UA S 40,929 69.00 n/a 19-Jun  SURVEYOR CAPITAL 040 VNTV B 164,300 26.23 n/a n/a  FARALLON CAP MGMT 040 VNTV B 164,300 26.23 n/a 11-Jun  WINSLOW CAPITAL 030 WFC S 965,000 43.61 n/a 6-Jun  SA.C. CAPITAL 044 XLI B 27,591 44.98 n/a n/a	KAM ADVISORS LLC         041         PIR         B         103,365         23.37         n/a         n/a         3,100.95           PRIMECAF MGMT         084         QCEN         B         5,000         20.84         n/a         n/a         200.00           HIGHFIELDS CAP MGMT         030         RSH         S         169,323         2.72         n/a         n/a         1,693.23           DPB CAPITAL         029         SIRI         B         5,000         3.74         n/a         n/a         250.00           SCOPUS FUND         041         SSI         B         25,000         24.12         n/a         18-Jun         1,000.00           BLACKTHORN         047         STT         B         10,000         69.29         n/a         17-Jun         500.00           J. GOLDMAN         028         TCT         B         25,000         71.73         n/a         23-May         1,000.00           SANDLER CAPITAL         028         TJX         S         270,000         51.53         n/a         18-Jun         13,500.00           J. GOLDMAN         028         UA         B         85,000         68.66         n/a         19-Jun         1,637.16

TOTAL (Trade Date): 130,782.39

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Re	search	Comm.¢	/Shr.
•		CHARTER OAK (CHARBTIG) CHARTER OAK (CHARBTIG)	033	PWE PWE	В	•	12.32 12.32	n/a n/a			0.0
TOTAL	(AO, 0	CXL, CRT):						-	400.00		

TOTAL (RUN DATE) / NFS:	130,382.39
TOTAL (AO, CXL, CRT):	-400.00
TOTAL (Trade Date):	130,782.39

## 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