



## Daily Compliance Activity Report

Trade Date: 05/13/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ANF	B	50,000	53.55	n/a	n/a	1,500.00	0.0
CYRUS CAPITAL	025	ARPI	SS	35,000	20.83	n/a	n/a	1,050.00	0.0
NEUBERGER BERMAN	036	ATR	S	15,000	56.12	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	AWR	S	12,650	53.30	n/a	n/a	506.00	0.0
MASTERS CAPITAL MANAGE	025	BAC	S	32,550	13.08	n/a	6-May	1,302.00	0.0
PRIMECAP MGMT	084	BIIB	S	5,000	222.38	n/a	n/a	200.00	0.0
BASSWOOD PARTNERS	267	BK	B	2,600	28.80	n/a	6-May	104.00	0.0
NEUBERGER BERMAN	036	BMJ	B	38,210	40.76	n/a	n/a	1,528.40	0.0
ENTRUST CAPITAL	040	BOBE	SS	23,793	45.04	n/a	n/a	1,189.65	0.0
1798 CAP/LOMBARD ASSET	040	BTU	S	250,000	20.64	n/a	n/a	12,500.00	0.0
COLUMBUS CIRCLE	036	CAR	S	7,946	30.17	n/a	n/a	317.84	0.0
NEW JERSEY DIV OF INV.	030	CHK	S	60,000	20.16	n/a	n/a	2,400.00	0.0
BASSWOOD PARTNERS	267	CIT	S	42,500	44.03	n/a	24-Apr	1,700.00	0.0
MELLON/BANK OF NEW YORK	046	CMCSA	S	87,540	42.93	n/a	n/a	3,501.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	CME	B	100	62.30	n/a	28-Apr	4.00	0.0
TUDOR INVESTORS	028	CSX	SS	5,000	25.25	n/a	n/a	150.00	0.0
SUFFOLK CAPITAL MGMT	040	DAL	S	68,700	18.05	n/a	10-May	2,748.00	0.0
NEUBERGER BERMAN	036	DAR	S	41,450	19.14	n/a	n/a	1,658.00	0.0
ENTRUST CAPITAL	040	DRI	SS	20,156	53.31	n/a	13-May	1,007.80	0.0
CAPITAL RESEARCH GROUP		296	EXC	B	315,988	35.01	n/a	n/a	11,059.58 0.0
NEUBERGER BERMAN	036	FELE	B	9,950	32.90	n/a	n/a	398.00	0.0
BALYASNY ASSET MGMT	044	FINL	B	30,000	21.14	n/a	10-May	1,500.00	0.0
PRIMECAP MGMT	084	FLDM	B	5,000	17.90	n/a	n/a	200.00	0.0
NEUBERGER BERMAN	036	FLO	S	42,700	32.76	n/a	n/a	1,708.00	0.0
SIGMA CAPITAL ASSOCIATES	041	FLO	B	74,664	32.88	n/a	n/a	2,239.92	0.0
TUDOR INVESTORS	028	F	SS	10,000	13.93	n/a	13-May	300.00	0.0
MASTERS CAPITAL MANAGE	025	GLW	S	19,775	15.25	n/a	n/a	791.00	0.0
Õ Jack Chernus		GM	S	20	0.5700	n/a	13-May	0.00	0.0
CR INTRINIC INVESTMENT	044	GT	B	41,100	12.55	n/a	n/a	1,233.00	0.0
MFP INVESTORS	085	JCP	S	10,000	18.50	n/a	9-May	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	085	JPM	B	7,782	49.31	n/a	6-May	311.28	0.0
WOOSTER CAPITAL	044	LEA	S	10,000	60.13	n/a	29-Apr	400.00	0.0
CR INTRINIC INVESTMENT	044	LOW	S	10,000	42.08	n/a	n/a	300.00	0.0
S.A.C. CAPITAL	044	LTD	SS	20,000	50.96	n/a	n/a	600.00	0.0
MASTERS CAPITAL MANAGE	025	MTU	S	32,600	7.20	n/a	n/a	1,304.00	0.0
CYRUS CAPITAL	025	MWV	B	20,000	35.21	n/a	10-May	600.00	0.0
J. GOLDMAN	028	MWV	SS	49,000	35.43	n/a	10-May	1,960.00	0.0
NEUBERGER BERMAN	036	NJR	S	2,754	45.57	n/a	n/a	110.16	0.0
NEUBERGER BERMAN	036	NWE	B	7,000	41.76	n/a	n/a	280.00	0.0
TUDOR INVESTORS	028	PNR	SS	5,000	56.17	n/a	n/a	200.00	0.0
BRIGADE CAPITAL MGMT	029	SFL	S	20,000	17.03	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	TISI	B	3,010	40.24	n/a	n/a	120.40	0.0
TIDE POINT CAPITAL	028	TRW	S	10,000	61.53	n/a	n/a	300.00	0.0
MELLON/BANK OF NEW YORK	046	T	S	127,960	37.03	n/a	n/a	5,118.40	0.0
RIDGECREST INV MGMT LLC	028	VC	B	5,000	62.66	n/a	n/a	200.00	0.0
NEUBERGER BERMAN	036	VMI	B	8,300	154.01	n/a	n/a	332.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	VPFG	B	11,577	19.49	n/a	n/a	463.08	0.0
MELLON/BANK OF NEW YORK	046	VZ	S	95,510	52.59	n/a	n/a	3,820.40	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	60,000	14.85	n/a	n/a	2,400.00	0.0
NEW JERSEY DIV OF INV.	030	WMT	B	100,000	78.46	n/a	22-Feb	4,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	78.67	n/a	22-Feb	750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	B	20,000	26.55		n/a n/a	400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	B	50,000	69.10	n/a	13-May	1,500.00	0.0
<b>TOTAL (Trade Date):</b>								<b>79,966.51</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/10	COBALT (COBAJPM)	041	LEN	B	97,000	42.59	n/a	n/a	3880.00 0.0
AO,	05/10	COBALT (COBAJPM)	041	LEN	B	98,000	42.59	n/a	n/a	3880.00 0.0
AO,CXL	05/10	COBALT (COBAUBS)	041	LEN	B	3,000	42.59	n/a	n/a	120.00 0.0
AO,	05/10	COBALT (COBAUBS)	041	LEN	B	2,000	42.59	n/a	n/a	120.00 0.0
<b>AO,CXL</b>	<b>05/10</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>LL</b>	<b>S</b>	<b>55</b>	<b>87.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CXL	05/10	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.65	n/a	n/a	1000.00 0.0
AO,CRT	05/10	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.65	n/a	n/a	800.00 4.0
AO,CXL	05/10	CLEARLINE CAPITAL LLC (CLINGS)	040	SSYS	SS	9,000	83.95	n/a	n/a	270.00 0.0
AO,	05/10	CLEARLINE CAPITAL LLC (CLINGS)	040	SSYS	SS	9,000	83.95	n/a	n/a	270.00 0.0
AO,CRT	05/09	PIMCO (PIMCSS)	084	UAL	S	100,000	32.77	n/a	10-May	4000.00 4.0
AO,CXL	05/09	PIMCO (PIMC4975GS)	084	UAL	S	100,000	32.77	n/a	10-May	4000.00 0.0
AO,CRT	05/10	IMPALA ASSET MMT (IMPAFIDELI)	040	URI	S	1,691	58.28	n/a	17-Apr	84.55 0.0
AO,CXL	05/10	IMPALA ASSET MMT (IMPAUBS)	040	URI	S	1,691	58.28	n/a	17-Apr	84.55 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>

TOTAL (Trade Date):	79,966.51
TOTAL (AO, CXL, CRT):	-200.00

TOTAL (RUN DATE) / NFS:

79,766.51

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