



Daily Compliance Activity Report

Trade Date: 05/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	ASH	S	38,450	87.87	n/a	n/a	1,538.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ASNA	S	50,000	19.88	n/a	n/a	1,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		ATI	SS	10,000	28.39	n/a	14-May	300.00	0.0
ARDSLEY PARTNERS	044	AXL	B	25,000	16.67	n/a	23-May	1,250.00	0.0
IMPALA ASSET MMT	040	AXP	S	30,000	74.61	n/a	23-May	1,500.00	0.0
IMPALA ASSET MMT	040	BG	SS	71,000	70.62	n/a	n/a	3,550.00	0.0
ADAGE CAPITAL MGMT	030	BKE	B	58,658	54.00	n/a	n/a	1,759.74	0.0
RIVERPARK CAPITAL	025	BX	S	18,436	22.63	n/a	n/a	921.80	0.0
IMPALA ASSET MMT	040	CNW	S	20,000	37.72	n/a	n/a	800.00	0.0
IMPALA ASSET MMT	040	CSX	S	20,000	25.19	n/a	n/a	1,000.00	0.0
COOPER CREEK PART	028	DOLE	S	25,000	11.00	n/a	n/a	1,000.00	0.0
BRANDWINE	028	EWBC	B	29,900	25.69	n/a	n/a	1,196.00	0.0
FARBER	085	FL	B	23,000	33.46	n/a	24-May	920.00	0.0
STRONG/MARK GRONET	030	GDXJ	B	25,400	11.14	n/a	n/a	1,016.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ADAGE CAPITAL MGMT	030	GME	B	200,000	35.17	n/a	n/a	6,000.00	0.0	
CR INTRINSIC/CHRIS C	041	GM	B	10,000	32.85	n/a	23-May	300.00	0.0	
SCOPUS FUND	041	GRPN	B	40,000	7.19	n/a	n/a	1,600.00	0.0	
ARDSLEY PARTNERS	044	HASI	B	25,000	11.89	n/a	n/a	1,250.00	0.0	
CAPITAL RESEARCH GROUP		296	HD	S	100,000	79.14	n/a	n/a	3,500.00	0.0
KEY ASSET MGMT/VICTORY	220	HON	S	84,580	78.99	n/a	19-Apr	3,383.20	0.0	
FARBER	085	IEV	S	3,400	41.96	n/a	n/a	136.00	0.0	
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	161,750	6.40	n/a	20-May	6,470.00	0.0
LOCUST WOOD CAPITAL MGMT	044	JCP	B	106,400	19.24	n/a	22-May	4,256.00	0.0	
SANDLER CAPITAL	028	LAZ	B	13,439	33.00	n/a	6-May	671.95	0.0	
CYRUS CAPITAL	025	LCC	SS	50,000	18.08	n/a	20-May	1,500.00	0.0	
SENATOR INVESTMENT GROUP	036	LPS	S	50,000	32.67	n/a	n/a	1,500.00	0.0	
COOPER CREEK PART	028	LPX	SS	10,000	18.56	n/a	24-May	400.00	0.0	
T. ROWE PRICE	243	LTD	S	170,200	49.74	n/a	n/a	6,808.00	0.0	
CSFB GLOBAL PROPRIETARY	041	MWV	B	45,000	34.98	n/a	16-May	2,250.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS	044	NEM	SS	5,000	31.78	n/a	n/a	250.00	0.0
ADAGE CAPITAL MGMT	030	NWSA	B	70,000	32.99	n/a	n/a	2,100.00	0.0
GEORGE WEISS	278	OI	B	5,000	27.44	n/a	n/a	200.00	0.0
IMPALA ASSET MMT	040	PCAR	S	80,154	53.21	n/a	n/a	4,007.70	0.0
KAM ADVISORS LLC	041	PG	C	20,300	81.97	n/a	24-May	609.00	0.0
IMPALA ASSET MMT	040	PIR	S	15,000	23.86	n/a	n/a	600.00	0.0
IMPALA ASSET MMT	040	QCOM	S	20,000	63.72	n/a	n/a	1,000.00	0.0
PRIMECAP MGMT	084	RIG	B	2,500	51.89	n/a	n/a	100.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	139,000	2.34	n/a	n/a	4,170.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SFD	B	10,000	26.04	n/a	n/a	200.00	0.0
ACK ASSET	028	SKH	B	25,000	6.93	n/a	n/a	750.00	0.0
BASSWOOD PARTNERS	267	SNV	B	98,256	2.72	n/a	n/a	2,947.68	0.0
ARDSLEY PARTNERS	044	SQM	SS	10,000	47.83	n/a	n/a	500.00	0.0
IMPALA ASSET MMT	040	TTWO	S	20,000	15.87	n/a	n/a	800.00	0.0
ADAGE CAPITAL MGMT	030	TWX	S	50,000	59.35	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	41.86	n/a	n/a	750.00	0.0
RIDGECREST INV MGMT LLC	028	VC	S	5,000	62.35	n/a	n/a	200.00	0.0
MERRILL ASSET/BLACKROCK	085	WAL	S	74,100	14.27	n/a	n/a	2,964.00	0.0
ADAGE CAPITAL MGMT	030	WFM	B	70,000	104.60	n/a	n/a	2,100.00	0.0
IMPALA ASSET MMT	040	WY	S	225,000	31.76	n/a	24-May	9,000.00	0.0
TOTAL (Trade Date):								93,025.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/23	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.60	n/a	n/a	1000.00 0.0
AO,CRT	05/23	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.60	n/a	n/a	800.00 4.0

TOTAL (AO, CXL, CRT) :	-200.00
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TOTAL (Trade Date) :	93,025.07
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS:	92,825.07
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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