



Daily Compliance Activity Report

Trade Date: 05/10/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ADS	B	29,925	176.89	n/a	n/a	1,197.00	0.0
TUDOR INVESTORS	028	ADT	B	4,900	44.24	n/a	n/a	147.00	0.0
NEUBERGER BERMAN	036	ADVS	B	16,450	30.13	n/a	n/a	658.00	0.0
ADAGE CAPITAL MGMT	030	AEO	B	30,700	19.55	n/a	2-Dec	921.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	AEO	SS	7,800	19.69	n/a	2-Dec	390.00 0.0
NEUBERGER BERMAN	036	ATR	S	16,650	56.60	n/a	n/a	666.00	0.0
NEUBERGER BERMAN	036	AWAY	B	13,450	29.30	n/a	n/a	538.00	0.0
NEUBERGER BERMAN	036	AWR	S	3,100	54.37	n/a	n/a	124.00	0.0
PRIMECAP MGMT	084	BIIB	S	5,000	211.78	n/a	n/a	200.00	0.0
IMPALA ASSET MMT	040	CNW	B	50,000	35.33	n/a	n/a	2,000.00	0.0
NEUBERGER BERMAN	036	COG	S	33,400	66.62	n/a	2-May	1,336.00	0.0
PERIMETER	273	CSTR	S	19,049	55.90	n/a	n/a	761.96	0.0
TUDOR INVESTORS	028	CSX	SS	10,000	25.35	n/a	n/a	300.00	0.0
PRIMECAP MGMT	084	DAL	B	4,000	17.90	n/a	10-May	160.00	0.0
SENATOR INVESTMENT GROUP	036	DAL	B	20,000	17.78	n/a	10-May	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	DD	S	100	55.39	n/a	n/a	30.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	55.42	n/a	n/a	400.00	0.0
BRONSON POINT	036	DECK	C	50,000	56.17	n/a	n/a	1,500.00	0.0
NEWLAND CAPITAL MGT	025	DOV	S	7,500	73.39	n/a	n/a	300.00	0.0
KEY ASSET MGMT/VICTORY	220	DOW	B	225,400	34.35	n/a	n/a	9,016.00	0.0
LATEEF MGMT	033	DOW	B	150	34.29	n/a	n/a	30.00	0.0
WAGONHOUND/NICOLAS	033	DPZ	S	13,523	58.00	n/a	10-May	540.92	0.0
NEUBERGER BERMAN	036	D	B	20,000	59.48	n/a	n/a	800.00	0.0
HARVEST MGMT (JMP)	029	FDO	B	10,000	62.81	n/a	10-Apr	400.00	0.0
NEUBERGER BERMAN	036	FELE	B	7,205	32.81	n/a	n/a	288.20	0.0
NEUBERGER BERMAN	036	FFIN	B	2,500	51.47	n/a	n/a	100.00	0.0
BALYASNY ASSET MGMT	044	FINL	B	75,000	21.54	n/a	10-May	3,750.00	0.0
MERRILL ASSET/BLACKROCK	297	FITB	B	17,500	17.63	n/a	n/a	700.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	24.15	n/a	9-May	400.00	0.0
S.A.C. CAPITAL	044	GE	B	100,000	22.82	n/a	n/a	3,000.00	0.0
PARAMETER CAPITAL MGMT LLC	044	GM	B	40,000	31.10	n/a	9-May	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINSIC/CHRIS C	041	IP	S	35,000	46.33	n/a	6-May	1,050.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	146,655	6.76	n/a	10-May	5,866.20 0.0
INTERVAL PARTNERS	033	JCI	B	10,000	36.41	n/a	6-May	300.00	0.0
TALON ASSET MGMT.	006	JPM	S	10,000	48.84	n/a	6-May	500.00	0.0
COBALT	041	LEN	B	100,000	42.59	n/a	n/a	4,000.00	0.0
PRIMECAP MGMT	084	LIFE	S	5,000	73.56	n/a	n/a	200.00	0.0
PALISADE CAPITAL MANAGEMENT LLC025		LL	B	71,385	87.94		n/a	n/a	2,855.40 0.0
LISTED ERR	099	LL	S	55	87.94	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	LTD	SS	200,000	51.39	n/a	n/a	6,000.00	0.0
NEUBERGER BERMAN	036	LUFK	S	30,750	88.32	n/a	n/a	1,230.00	0.0
LATEEF MGMT	033	MSFT	S	150	32.58	n/a	n/a	30.00	0.0
NEWLAND CAPITAL MGT	025	MSM	S	15,000	82.01	n/a	n/a	600.00	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	50,000	35.18	n/a	10-May	2,500.00	0.0
NEUBERGER BERMAN	036	NJR	S	13,201	45.54	n/a	n/a	528.04	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.65	n/a	n/a	1,000.00	0.0
NEUBERGER BERMAN	036	NWE	B	4,400	41.78	n/a	n/a	176.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
LATEEF MGMT	033	OLN	B	150	24.16	n/a	n/a	30.00	0.0	
ADAGE CAPITAL MGMT	030	PERY	B	40,160	18.12	n/a	n/a	1,204.80	0.0	
INTERVAL PARTNERS	033	PETM	B	10,000	70.11	n/a	n/a	300.00	0.0	
IMPALA ASSET MMT	040	PH	B	75,000	93.83	n/a	n/a	3,750.00	0.0	
HARVEST MGMT (JMP)	029	PIR	S	10,000	24.49	n/a	n/a	400.00	0.0	
TUDOR INVESTORS	028	PNR	SS	5,000	55.84	n/a	n/a	150.00	0.0	
HARVEST MGMT (JMP)	029	ROST	SS	15,000	65.78	n/a	10-May	600.00	0.0	
NEUBERGER BERMAN	036	SE	B	31,000	30.79	n/a	n/a	1,240.00	0.0	
CRAMER ROSENTHAL	070	SKS	B	70,300	11.88	n/a	n/a	2,812.00	0.0	
LATEEF MGMT	033	SPLS	S	250	14.07	n/a	n/a	30.00	0.0	
LEVIN CAPITAL STRATEGIES	041	SSI	S	15,193	28.05	n/a	8-May	455.79	0.0	
CLEARLINE CAPITAL LLC	040	SSYS	SS	9,000	83.95	n/a	n/a	270.00	0.0	
NEUBERGER BERMAN	036	STEI	B	25,000	9.01	n/a	n/a	500.00	0.0	
MERRILL ASSET/BLACKROCK	297	STI	B	19,500	30.47	n/a	n/a	780.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	10,000	6.99		n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	TGT	S	140,000	69.33	n/a	18-Apr	4,200.00	0.0
NEUBERGER BERMAN	036	TISI	B	4,400	40.75	n/a	n/a	176.00	0.0
S.A.C. CAPITAL	044	TJX	SS	20,000	50.96	n/a	9-May	600.00	0.0
BRONSON POINT	036	TRW	B	50,000	61.50	n/a	n/a	1,500.00	0.0
TIDE POINT CAPITAL	028	TRW	B	5,000	61.35	n/a	n/a	150.00	0.0
LATEEF MGMT	033	UAL	S	200	32.84	n/a	10-May	30.00	0.0
IMPALA ASSET MMT	040	URI	S	50,000	58.28	n/a	17-Apr	2,500.00	0.0
NEUBERGER BERMAN	036	VMI	B	8,400	153.12	n/a	n/a	336.00	0.0
NEUBERGER BERMAN	036	VPFG	B	10,000	19.43	n/a	n/a	400.00	0.0
BRONSON POINT	036	WMT	B	175,000	78.70	n/a	22-Feb	5,250.00	0.0
BALYASNY ASSET MGMT	044	WY	S	125,000	31.38	n/a	10-May	6,250.00	0.0
IMPALA ASSET MMT	040	WY	B	50,000	31.35	n/a	10-May	2,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	SS	50,000	70.08	n/a	6-May	1,500.00	0.0
SURVEYOR CAPITAL	251	YUM	B	64,937	70.14	n/a	6-May	1,948.11	0.0
TOTAL (Trade Date) :								98,852.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/09	TUDOR INVESTORS (TUDRJMPMB)	028	IR	B	10,000	55.81	n/a	9-May	3.00 0.0
AO,CRT	05/09	TUDOR INVESTORS (TUDRJMPMB)	028	IR	B	10,000	55.81	n/a	9-May	300.00 3.0
AO,CXL	05/09	COBALT (COBAJPM)	041	LEN	B	100,000	42.67	n/a	n/a	4000.00 0.0
AO,	05/09	COBALT (COBAJPM)	041	LEN	B	93,600	42.67	n/a	n/a	3744.00 0.0
AO,	05/09	COBALT (COBAUBS)	041	LEN	B	6,400	42.67	n/a	n/a	256.00 0.0
AO,CXL	05/09	HALCYON LLC (HALCBARCL)	041	S	B	133,854	7.36	n/a	n/a	277.08 0.0
AO,CRT	05/09	HALCYON LLC (HALCBARCL)	041	S	B	133,854	7.36	n/a	n/a	2677.08 2.0
AO,CXL	05/09	HALCYON LLC (HALCSBSHPB)	041	S	B	8,751	7.36	n/a	n/a	175.02 0.0
AO,CRT	05/09	HALCYON LLC (HALCSBSHPB)	041	S	B	8,751	7.36	n/a	n/a	175.02 2.0
AO,CXL	05/09	HALCYON LLC (HALCDBSI)	041	S	B	7,395	7.36	n/a	n/a	147.90 0.0
AO,CRT	05/09	HALCYON LLC (HALCDBSI)	041	S	B	7,395	7.36	n/a	n/a	147.90 2.0
AO,CXL	05/09	TUDOR INVESTORS (TUDRJMPMB)	028	WY	B	20,000	31.58	n/a	10-May	6.00 0.0
AO,CRT	05/09	TUDOR INVESTORS (TUDRJMPMB)	028	WY	B	20,000	31.58	n/a	10-May	600.00 3.0

TOTAL (AO, CXL, CRT) :**3,291.00**

TOTAL (Trade Date) :

98,852.42

TOTAL (AO, CXL, CRT) :

3,291.00

TOTAL (RUN DATE) / NFS :**102,143.42**

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