



Daily Compliance Activity Report

Trade Date: 06/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTIER	029	ACTV	B	58,460	6.94	n/a	n/a	1,753.80	0.0
MILLRACE FUND LP	028	ALV	SS	4,000	77.89	n/a	20-May	160.00	0.0
ARDSLEY PARTNERS	280	AXL	S	25,000	17.56	n/a	4-Jun	1,250.00	0.0
SCOPUS FUND	041	BUD	S	46,675	90.59	n/a	3-Jun	1,867.00	0.0
LONG OAR GLOBAL INV	040	CAT	B	13,000	84.80	n/a	11-Jul	520.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CHS	B	121,700	18.00	n/a	5-Feb	4,868.00	0.0
TOCQUEVILLE	046	CKP	S	84,700	14.13	n/a	n/a	4,235.00	0.0
HOPLITE MGMT	025	CX	B	100,000	10.64	n/a	n/a	4,000.00	0.0
HIGHBRIDGE CAP	041	DK	B	4,328	34.70	n/a	n/a	129.84	0.0
IONIC CAPITAL MANAGEMENT	041	EEP	S	6,300	28.92	n/a	n/a	189.00	0.0
IONIC CAPITAL MANAGEMENT	041	EPD	S	2,700	58.21	n/a	n/a	81.00	0.0
HOLLIS CAPITAL	033	EW	S	5,000	66.00	n/a	n/a	250.00	0.0
ARDSLEY PARTNERS	280	EXH	S	10,000	28.39	n/a	n/a	500.00	0.0
KENNEDY CAPITAL	046	FINL	B	9,369	20.75	n/a	5-Jun	374.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROVIDENCE EQUITY CAP. MKTS.040		FSL	S	97,000	15.45	n/a	n/a	2,910.00	0.0
CAERUS GLOBAL	041	F	B	20,000	15.39	n/a	5-Jun	800.00	0.0
OZ MGMT	040	F	C	228,090	15.30	n/a	5-Jun	6,842.70	0.0
SCOPUS FUND	041	F	SS	50,000	15.43	n/a	5-Jun	2,000.00	0.0
VERITION	028	F	B	25,000	15.56	n/a	5-Jun	750.00	0.0
RIVERPARK CAPITAL	025	GCI	B	19,329	20.47	n/a	n/a	966.45	0.0
ROVER CAPITAL PARTNERS	040	GE	SS	15,000	23.33	n/a	n/a	600.00	0.0
OZ MGMT	040	GM	S	50,000	34.71	n/a	5-Jun	1,500.00	0.0
CHARTERBRIDGE CAPITAL	025	IMAX	SS	35,000	26.35	n/a	n/a	1,050.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	326,220	6.10	n/a	5-Jun	13,048.80 0.0
LEVIN CAPITAL STRATEGIES	041	JPM	S	5,000	53.40	n/a	3-Jun	150.00	0.0
IONIC CAPITAL MANAGEMENT	041	KMI	SS	3,500	37.72	n/a	n/a	105.00	0.0
1798 CAP/LOMBARD ASSET	040	KSS	SS	195,000	51.24	n/a	22-May	9,750.00	0.0
ADAGE CAPITAL MGMT	030	KSS	B	50,000	51.71	n/a	22-May	1,500.00	0.0
OZ MGMT	040	KSS	B	75,000	51.30	n/a	22-May	2,250.00	0.0
SCOPUS FUND	041	LAD	B	2,388	54.06	n/a	n/a	95.52	0.0
STELLIAM INV ADV	086	LCC	B	15,000	17.00	n/a	5-Jun	600.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LEA	B	15,700	58.63	n/a	20-May	471.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SENATOR INVESTMENT GROUP	036	LNG	B	500,000	28.04	n/a	n/a	15,000.00	0.0	
THIRD POINT MGMT	044	LNG	S	176,600	28.17	n/a	n/a	7,064.00	0.0	
CSFB GLOBAL PROPRIETARY	041	LPX	B	45,000	16.65	n/a	5-Jun	2,250.00	0.0	
HIGHBRIDGE CAP	041	LPX	S	25,000	16.90	n/a	5-Jun	750.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	LPX	B	265,000	16.70	n/a	5-Jun	7,950.00	0.0
TIDE POINT CAPITAL	028	LPX	S	28,900	16.90	n/a	5-Jun	867.00	0.0	
SANDLER O'NEILL ASSET	031	MMC	S	20,000	39.49	n/a	n/a	1,000.00	0.0	
IONIC CAPITAL MANAGEMENT	041	MMP	S	2,700	50.90	n/a	n/a	81.00	0.0	
CHARTERBRIDGE CAPITAL	025	MNST	S	3,367	61.14	n/a	n/a	101.01	0.0	
HIGHBRIDGE CAP	041	MPC	B	3,108	80.32	n/a	n/a	93.24	0.0	
IONIC CAPITAL MANAGEMENT	041	MWE	S	1,300	65.76	n/a	n/a	39.00	0.0	
CAPITAL RESEARCH GROUP		296	MWV	B	111,920	34.74	n/a	29-May	3,917.20	0.0
1798 CAP/LOMBARD ASSET	040	M	SS	210,000	47.51	n/a	21-May	10,500.00	0.0	
KAM ADVISORS LLC	041	NE	B	120,000	39.28	n/a	n/a	3,600.00	0.0	
IONIC CAPITAL MANAGEMENT	041	NGLS	S	2,600	46.04	n/a	n/a	78.00	0.0	
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	68,262	7.46	n/a	n/a	1,365.24	0.0	
IONIC CAPITAL MANAGEMENT	041	PAA	S	1,700	54.98	n/a	n/a	51.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	PBCT	SS	7,680	13.77	n/a	18-Apr	384.00	0.0
PRIMECAP MGMT	084	QGEN	B	7,000	18.40	n/a	n/a	280.00	0.0
IONIC CAPITAL MANAGEMENT	041	SE	SS	5,300	30.06	n/a	n/a	159.00	0.0
M&I FUNDS	047	SHPG	S	18,986	97.42	n/a	3-Jun	759.44	0.0
IONIC CAPITAL MANAGEMENT	041	SXL	S	1,400	58.97	n/a	n/a	42.00	0.0
WOOSTER CAPITAL	044	TRW	B	10,000	62.62	n/a	n/a	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	40,000	28.26	n/a	5-Jun	2,000.00	0.0
WOOSTER CAPITAL	044	WY	B	50,000	28.94	n/a	5-Jun	2,000.00	0.0
BRONSON POINT	036	XLI	SS	200,000	42.78	n/a	n/a	6,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	SS	20,000	90.49	n/a	n/a	600.00	0.0
TOTAL (Trade Date):							132,899.00		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	AIN	S	8,015	31.74	n/a	n/a	280.53	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	AIN	S	8,015	31.74	n/a	n/a	240.45	0.0
AO,CXL	06/04	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	25,000	18.02	n/a	4-Jun	1250.00	0.0
AO,CRT	06/04	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	25,000	18.02	n/a	4-Jun	1000.00	4.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	BOBE	S	12,400	46.24	n/a	n/a	434.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	BOBE	S	12,400	46.24	n/a	n/a	372.00	0.0
AO,CXL	06/04	TOCQUEVILLE (TOCQB50278)	046	CKP	S	42,500	14.08	n/a	n/a	0.00	0.0
AO,	06/04	TOCQUEVILLE (TOCQB50278)	046	CKP	S	42,500	14.08	n/a	n/a	2125.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI250153)	084	CSCO	B	2,400	24.51	n/a	26-Feb	84.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	CSCO	B	2,400	24.51	n/a	26-Feb	72.00	0.0
AO,	06/04	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	DRH	S	14,700	9.53	n/a	n/a	441.00	0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT (IONICS)	041	DRH	S	14,700	9.53	n/a	n/a	441.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	FOR	S	25,808	22.43	n/a	9-May	903.28	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	FOR	S	20,000	22.44	n/a	9-May	600.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	FOR	S	5,808	22.41	n/a	9-May	174.24	0.0
AO,	06/04	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	HST	S	53,800	17.54	n/a	13-Jun	1614.00	0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT (IONICS)	041	HST	S	53,800	17.54	n/a	13-Jun	1614.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI250153)	084	L	B	1,500	45.66	n/a	n/a	52.50	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	L	B	1,500	45.66	n/a	n/a	45.00	0.0
AO,	06/04	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	LHO	S	22,300	26.01	n/a	n/a	669.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT (IONICS)	041	LHO	S	22,300	26.01	n/a	n/a	669.00 0.0
AO,	06/04	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	MAR	SS	16,100	41.72	n/a	13-Jun	483.00 0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT (IONICS)	041	MAR	SS	16,100	41.72	n/a	13-Jun	483.00 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	NP	S	7,217	30.95	n/a	13-May	252.60 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	NP	S	7,217	30.95	n/a	13-May	216.51 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI250153)	084	TEVA	B	2,000	38.16	n/a	3-Jun	70.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	TEVA	B	2,000	38.16	n/a	3-Jun	60.00 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI250153)	084	TLM	B	5,000	11.73	n/a	n/a	175.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	TLM	B	5,000	11.73	n/a	n/a	150.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO (NWQI293078)	084	TMS	S	5,856	14.84	n/a	n/a	175.68 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	TMS	S	5,856	14.84	n/a	n/a	204.96 0.0
AO,CRT	06/04	IONIC CAPITAL MANAGEMENT (IONIJPM)	041	WYN	SS	2,450	58.72	n/a	n/a	73.50 0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT (IONICS)	041	WYN	SS	2,450	58.72	n/a	n/a	73.50 0.0
TOTAL (AO, CXL, CRT) :										2,225.99

TOTAL (Trade Date):	132,899.00
TOTAL (AO, CXL, CRT):	2,225.99
TOTAL (RUN DATE) / NFS:	135,124.99



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