



Daily Compliance Activity Report

Trade Date: 06/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	025	AAN	SS	8,800	28.67	n/a	n/a	440.00	0.0
SENATOR INVESTMENT GROUP	036	AMTD	B	300,000	23.95	n/a	n/a	9,000.00	0.0
NEWLAND CAPITAL MGT	025	ARC	S	14,672	3.71	n/a	n/a	586.88	0.0
LAKEWOOD CAPITAL MGMT	085	AXDX	SS	6,000	8.95	n/a	n/a	180.00	0.0
FARALLON CAP MGMT	040	AXP	S	25,000	73.76	n/a	17-Jun	1,000.00	0.0
SANDLER O'NEILL ASSET	031	BAC	S	200,000	13.18	n/a	17-Jun	10,000.00	0.0
SOROS	036	CA	B	200,000	28.58	n/a	n/a	8,000.00	0.0
J. GOLDMAN	028	CNW	S	30,110	39.40	n/a	n/a	1,204.40	0.0
LOMAS CAPITAL	040	CNW	B	46,000	39.41	n/a	n/a	1,380.00	0.0
NEWLAND CAPITAL MGT	025	CNW	S	300	39.45	n/a	n/a	12.00	0.0
LATEEF MGMT	033	CSCO	S	1,000	24.91	n/a	26-Feb	100.00	0.0
COHE & STEERS	041	CUBE	B	23,857	16.59	n/a	n/a	715.71	0.0
LATEEF MGMT	033	DE	B	500	85.07	n/a	11-Jul	50.00	0.0
CORNERSTONE	030	DIS	B	55,000	64.45	n/a	n/a	1,650.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	C	13,506	15.60	n/a	17-Jun	405.18	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLEARLINE CAPITAL LLC	040	HNT	B	11,041	31.10	n/a	n/a	331.23	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	IRM	S	5,000	29.00		n/a	n/a	150.00 0.0
IONIC CAPITAL MANAGEMENT	041	IWM	SS	50,000	98.68	n/a	n/a	1,500.00	0.0
NORTHWESTERN MUTUAL LIFE	047	IWO	B	83,900	113.26	n/a	n/a	1,678.00	0.0
MERRILL ASSET/BLACKROCK	085	JPM	S	25,500	53.81	n/a	17-Jun	1,020.00	0.0
GEORGE WEISS	278	KORS	S	2,500	61.63	n/a	30-May	100.00	0.0
RIDGECREST INV MGMT LLC	028	KS	S	5,000	39.56	n/a	n/a	200.00	0.0
IVORY CAPITAL	084	LCC	B	105,000	16.91	n/a	17-Jun	5,250.00	0.0
BRONSON POINT	036	LULU	SS	25,000	64.98	n/a	13-Jun	750.00	0.0
CR INTRINIC INVESTMENT	044	MAS	B	40,000	21.02	n/a	n/a	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	135,000	35.72	n/a	29-May	6,750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	S	10,000	35.72	n/a	29-May	300.00	0.0
GEORGE WEISS	278	NOV	S	5,000	70.90	n/a	n/a	200.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NXTM	B	10,000	14.27	n/a	n/a	400.00	0.0
SANDLER O'NEILL ASSET	031	PBCT	SS	32,168	13.86	n/a	18-Apr	1,608.40	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	42.68	n/a	14-Jun	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PCL	S	12,000	47.64	n/a	14-Jun	600.00	0.0
SUFFOLK CAPITAL MGMT	040	PXD	B	24,820	151.77	n/a	13-Jun	992.80	0.0
MERRILL ASSET/BLACKROCK	085	SF	B	14,200	35.95	n/a	n/a	568.00	0.0
CORNERSTONE	030	SHW	B	4,100	182.66	n/a	n/a	123.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	21,500	66.59	n/a	17-Jun	645.00	0.0
JET CAPITAL/CHRIS	041	SPY	SS	45,000	164.68	n/a	n/a	1,350.00	0.0
LAKEWOOD CAPITAL MGMT	085	SRC	B	5,000	19.45	n/a	n/a	150.00	0.0
LATEEF MGMT	033	SWY	B	500	24.17	n/a	n/a	50.00	0.0
ROYCE TRADING	031	WG	S	50,000	6.86	n/a	n/a	2,500.00	0.0
SUFFOLK CAPITAL MGMT	040	WG	B	40,400	6.88	n/a	n/a	1,212.00	0.0
COOPER CREEK PART	028	WY	S	7,500	29.12	n/a	17-Jun	300.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	150,000	29.02	n/a	17-Jun	7,500.00	0.0
TOTAL (Trade Date) :								72,902.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/11	COHE & STEERS (COHENYCTUS)	041	DLR	S	4,773	61.43	n/a	n/a	190.92	0.0
AO,CRT	06/11	COHE & STEERS (COHENYCTUS)	041	DLR	S	4,773	61.43	n/a	n/a	190.92	4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	72,902.60
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	72,902.60
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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