



Daily Compliance Activity Report

Trade Date: 05/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
ADAGE CAPITAL MGMT	030	AEO	B	150,000	19.05	n/a	2-Dec	4,500.00	0.0	
SURVEYOR CAPITAL	251	AEO	SS	52,583	19.11	n/a	2-Dec	1,577.49	0.0	
NWQ INVESTMENT MGMT CO	084	AIG	S	8,075	45.68	n/a	n/a	282.63	0.0	
COLUMBUS CIRCLE	036	AWAY	S	2,939	29.48	n/a	n/a	117.56	0.0	
LOMAS CAPITAL	040	AXL	S	71,900	15.17	n/a	6-May	2,157.00	0.0	
SCOPUS FUND	041	AXL	B	38,500	14.98	n/a	6-May	1,540.00	0.0	
HOLLIS CAPITAL	033	BAC	B	7,000	12.70	n/a	6-May	350.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	25,000	18.49	n/a	29-Apr	750.00	0.0	
BASSWOOD PARTNERS	267	BK	B	54,600	28.26	n/a	6-May	2,184.00	0.0	
NUVEEN - US BANCORP		030	CERN	S	30,581	95.60	n/a	n/a	1,376.16	0.0
NWQ INVESTMENT MGMT CO	084	CNQ	B	19,930	29.42	n/a	n/a	697.55	0.0	
SPARTAN	093	CYBX	B	5,000	43.00	n/a	n/a	150.00	0.0	
LATEEF MGMT	033	DRE	S	2,600	18.20	n/a	n/a	260.00	0.0	
T. ROWE PRICE	028	DWRE	S	10,000	28.77	n/a	n/a	400.00	0.0	
IVORY CAPITAL	084	GM	S	100,000	31.96	n/a	6-May	5,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	HBI	S	143,732	49.88	n/a	3-May	5,749.28	0.0
CR INTRINIC INVESTMENT	044	HBI	SS	10,000	49.78	n/a	3-May	300.00	0.0
DELTEC ASSET MGMT.	040	IP	B	16,000	45.77	n/a	6-May	800.00	0.0
BTG PACTUAL	040	JBLU	B	22,400	6.97	n/a	26-Apr	672.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JBLU	B	100,000	6.99	n/a	26-Apr	3,000.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	JCI	B	44,500	35.27	n/a	6-May	1,424.00	0.0
WAGONHOUND/NICOLAS	033	JCI	B	38,565	35.12	n/a	6-May	1,542.60	0.0
PAW PARTNERS	025	JCP	B	25,000	17.10	n/a	30-Apr	1,250.00	0.0
SANDLER CAPITAL	028	MHK	B	75,000	115.06	n/a	n/a	3,750.00	0.0
CORVEX CAPITAL	041	MWV	B	10,784	34.47	n/a	30-Apr	323.52	0.0
COLUMBUS CIRCLE	036	PKI	S	17,077	31.01	n/a	n/a	683.08	0.0
Õ Manny Korman		SLMAP	B	1000	50.1900	n/a	n/a	0.00	0.0
WELLSPRING CAPITAL	093	SPPI	SS	50,000	7.40	n/a	n/a	2,000.00	0.0
EPOCH INV MGMT	030	SSD	B	17,100	28.66	n/a	n/a	513.00	0.0
CRAMER ROSENTHAL	070	TDC	B	299,140	51.55	n/a	n/a	11,965.60	0.0
ADAGE CAPITAL MGMT	030	TGT	S	150,000	70.07	n/a	18-Apr	4,500.00	0.0
TIDE POINT CAPITAL	028	TRW	B	10,000	60.01	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTIER	029	WWW	B	35,890	19.08	n/a	n/a	1,435.60	0.0
KAM ADVISORS LLC	041	XLP	C	223,900	40.92	n/a	n/a	6,717.00	0.0
TOTAL (Trade Date):								68,268.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	04/30	NOMURA CAPITAL (NOMUBB)	029		S	800	2.37	n/a	n/a	24.00	3.0
AO,CXL	04/30	NOMURA CAPITAL (NOMUBSMAIN)	029	DEXO	S	800	2.37	n/a	n/a	24.00	0.0
AO,CRT	05/02	CAERUS GLOBAL (CAERUNION)	041	GM	S	647	31.36	n/a	6-May	25.88	0.0
AO,CXL	05/02	CAERUS GLOBAL (CAERUBSPB)	041	GM	S	647	31.36	n/a	6-May	25.88	0.0
AO,CXL	05/03	SANDLER O'NEILL ASSET (SANOMSIL)	031	LAZ	B	20,200	32.99	n/a	6-May	1010.00	0.0
AO,CRT	05/03	SANDLER O'NEILL ASSET (SANO)	031	LAZ	B	20,200	32.99	n/a	6-May	1010.00	5.0
AO,CXL	05/01	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	NIHD		S	11,838	8.91	n/a	n/a	355.14	0.0
AO,	05/01	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	NIHD		S	11,838	8.91	n/a	n/a	236.76	0.0

TOTAL (AO, CXL, CRT) :**-118.38**

TOTAL (Trade Date) :

68,268.07

TOTAL (AO, CXL, CRT) :

-118.38

TOTAL (RUN DATE) / NFS:**68,149.69**

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