



Daily Compliance Activity Report

Trade Date: 05/08/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	ALL	S	25,000	49.33	n/a	n/a	1,000.00	0.0
STELLIAM INV ADV	086	AMAT	B	60,000	14.86	n/a	n/a	2,400.00	0.0
COOPER CREEK PART	028	BONT	S	7,200	16.26	n/a	8-May	288.00	0.0
CORNERSTONE	030	CRM	S	175,000	42.38	n/a	n/a	5,250.00	0.0
T. ROWE PRICE	243	DWRE	S	40,000	29.93	n/a	n/a	1,600.00	0.0
DSM CAPITAL PARTNERS	085	EBAY	B	40,700	54.55	n/a	n/a	2,035.00	0.0
MERRILL ASSET/BLACKROCK	297	EDD	B	31,000	17.64	n/a	n/a	1,240.00	0.0
PARKWEST	084	ELNK	SS	138,100	5.93	n/a	n/a	4,143.00	0.0
CAERUS GLOBAL	041	F	SS	25,000	14.21	n/a	7-May	1,000.00	0.0
CAERUS GLOBAL	041	GM	B	10,000	32.04	n/a	7-May	400.00	0.0
CR INTRINIC INVESTMENT	044	GPS	B	10,000	38.88	n/a	n/a	300.00	0.0
SCOPUS FUND	041	LAD	B	25,000	51.54	n/a	n/a	1,000.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	474	32.75	n/a	6-May	23.70	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LBTYA	SS	10,000	78.71	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	MLI	B	8,900	53.44	n/a	30-Apr	267.00	0.0
PRIMECAP MGMT	084	MMC	S	600	39.30	n/a	n/a	24.00	0.0
DONALD SMITH	088	MU	B	500,000	10.03	n/a	n/a	15,000.00	0.0
STELLIAM INV ADV	086	MU	S	60,000	10.13	n/a	n/a	2,400.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	15,000	34.83	n/a	30-Apr	750.00	0.0
LOCUST WOOD CAPITAL MGMT	044	NEWCASTLE INVESTMENTB			286,500	5.20	n/a	n/a	11,460.00 0.0
NOMURA CAPITAL	029	NTK	S	5,000	71.76	n/a	n/a	200.00	0.0
COHE & STEERS	041	PLD	B	17,352	42.98	n/a	n/a	694.08	0.0
DELTEC ASSET MGMT.	040	PVH	B	5,000	118.36	n/a	22-Apr	250.00	0.0
ROSEDALE CAPITAL	046	SCHW	B	20,000	17.37	n/a	n/a	800.00	0.0
EPOCH INV MGMT	030	SSD	B	13,909	28.82	n/a	n/a	417.27	0.0
DSM CAPITAL PARTNERS	085	TWX	B	38,400	61.54	n/a	n/a	1,920.00	0.0
TOTAL (Trade Date) :								55,062.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									55,062.05
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									55,062.05

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