



Daily Compliance Activity Report

Trade Date: 04/17/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	ADT	B	11,566	43.37	n/a	n/a	346.98	3.0
S.A.C. CAPITAL	044	ALGN	SS	25,000	31.05	n/a	n/a	750.00	3.0
BRONSON POINT	036	ALV	C	50,000	67.22	n/a	16-Apr	1,500.00	0.0
ADAGE CAPITAL MGMT	030	ARO	SS	6,900	13.02	n/a	n/a	207.00	3.0
PARAMETER CAPITAL MGMT LLC	044	ASH	SS	20,000	84.16	n/a	n/a	600.00	3.0
BRONSON POINT	036	ATI	B	25,000	26.80	n/a	11-Apr	750.00	0.0
DC CAPITAL	044	ATI	B	100,000	26.76	n/a	11-Apr	4,000.00	4.0
GEORGE WEISS	278	AXL	B	10,000	12.11	n/a	17-Apr	400.00	0.0
BASSWOOD PARTNERS	267	AXP	C	45,782	64.07	n/a	17-Apr	1,831.28	0.0
WHITE PINE CAPITAL	030	BAC	B	22,200	11.58	n/a	17-Apr	1,110.00	0.0
J. GOLDMAN	028	BWA	S	3,400	71.10	n/a	16-Apr	136.00	4.0
SOROS	036	CA	B	109,452	24.55	n/a	n/a	4,378.08	0.0
HIGHBRIDGE CAP	041	CHRW	SS	2,661	56.38	n/a	n/a	79.83	3.0
NEUBERGER BERMAN	036	CVX	B	10,000	114.86	n/a	n/a	400.00	0.0
CAERUS GLOBAL	041	DDC	B	15,000	14.96	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRANDWINE	028	DDS	B	45,353	78.85	n/a	n/a	1,814.12	0.0
LOMAS CAPITAL	040	DE	SS	32,000	81.79	n/a	11-Jul	960.00	3.0
PARAMETER CAPITAL MGMT LLC	044	DOV	B	30,000	70.63	n/a	n/a	900.00	3.0
PARAMETER CAPITAL MGMT LLC	044	DOW	B	50,000	30.12	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	EDD	B	15,260	16.98	n/a	n/a	610.40	0.0
S.A.C. CAPITAL	044	EFII	SS	25,000	24.60	n/a	n/a	750.00	3.0
PARAMETER CAPITAL MGMT LLC	044	EMN	SS	30,000	66.94	n/a	n/a	900.00	3.0
PARAMETER CAPITAL MGMT LLC	044	EMR	B	50,000	53.59	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	ETN	B	2,632	57.24	n/a	3-Apr	78.96	3.0
HIGHBRIDGE CAP	041	EXPD	SS	4,285	35.07	n/a	n/a	128.55	3.0
J. GOLDMAN	028	F	B	23,600	12.85	n/a	16-Apr	708.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	B	50,000	12.93	n/a	16-Apr	1,500.00	3.0
PHILADELPHIA FINANCIAL	033	F	C	50,000	12.94	n/a	16-Apr	2,000.00	0.0
HOLLIS CAPITAL	033	GES	B	5,000	25.86	n/a	21-Mar	250.00	5.0
TROUBH PART	070	GM	B	15,000	28.87	n/a	17-Apr	750.00	5.0
J. GOLDMAN	028	GT	B	17,900	11.97	n/a	n/a	716.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	GT	SS	17,900	11.95	n/a	n/a	716.00	4.0
S.A.C. CAPITAL	044	GWRE	SS	75,000	35.99	n/a	n/a	2,250.00	3.0
COLUMBUS CIRCLE	036	IMPV	B	2,858	38.76	n/a	n/a	114.32	0.0
DELTEC ASSET MGMT.	040	IP	B	5,000	46.08	n/a	17-Apr	250.00	5.0
JET CAPITAL/CHRIS	041	IRM	B	25,000	36.48	n/a	n/a	750.00	0.0
PARAMETER CAPITAL MGMT LLC	044	IR	SS	30,000	53.70	n/a	27-Mar	900.00	3.0
BRIGADE CAPITAL MGMT	029	IWM	C	50,000	89.84	n/a	n/a	1,500.00	0.0
KING STREET CAPITAL	086	JBLU	B	100,000	6.92	n/a	15-Apr	5,000.00	0.0
J. GOLDMAN	028	JCI	S	10,300	32.43	n/a	27-Mar	412.00	4.0
AAD CAPITAL	084	JCP	B	13,000	14.73	n/a	15-Apr	390.00	3.0
J. GOLDMAN	028	JCP	B	100,000	14.79	n/a	15-Apr	4,000.00	4.0
MFP INVESTORS	085	JCP	S	25,000	14.72	n/a	15-Apr	1,250.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	JCP	B	25,000	14.82	n/a	15-Apr	750.00	3.0
PERRY PARTNERS	085	JCP	B	250,000	14.79	n/a	15-Apr	10,000.00	0.0
S.A.C. CAPITAL	044	KMX	B	15,000	41.62	n/a	n/a	450.00	3.0
LEVIN CAPITAL STRATEGIES	041	KORS	SS	5,000	52.63	n/a	12-Mar	150.00	0.0
S.A.C. CAPITAL	044	KSS	SS	50,000	46.68	n/a	8-Apr	1,500.00	3.0
EPOCH INV MGMT	030	KS	B	25,600	27.62	n/a	n/a	768.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	KS	B	25,000	27.54	n/a	n/a	1,250.00	0.0
SCOPUS FUND	041	KS	SS	20,000	27.65	n/a	n/a	800.00	0.0
STRONG/MARK GRONET	030	LCC	B	297,705	16.42	n/a	16-Apr	11,908.20	0.0
NORTHWESTERN MUTUAL LIFE	047	LOW	B	230,300	37.58	n/a	n/a	9,212.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	17.72	n/a	17-Apr	2,500.00	5.0
PRIMECAP MGMT	084	LTD	B	5,000	48.60	n/a	n/a	200.00	0.0
CAERUS GLOBAL	041	MCD	S	6,000	102.47	n/a	15-Apr	240.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MCD	SS	50,000	102.60	n/a	15-Apr	1,500.00	3.0
ROSEDALE CAPITAL	046	MS	B	10,000	21.49	n/a	5-Apr	500.00	5.0
EPOCH INV MGMT	030	MTSC	S	11,000	54.54	n/a	n/a	330.00	0.0
PRIMECAP MGMT	084	M	B	1,500	43.45	n/a	8-Apr	60.00	0.0
NEUBERGER BERMAN	036	NEE	B	15,000	79.07	n/a	n/a	600.00	0.0
CR INTRINSIC/CHRIS C	041	PKG	B	15,000	43.07	n/a	17-Apr	450.00	3.0
SCOPUS FUND	041	PKG	SS	7,755	43.46	n/a	17-Apr	310.20	4.0
NEUBERGER BERMAN	036	PLD	B	25,000	40.57	n/a	n/a	1,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	5,000	105.06	n/a	1-Apr	150.00	3.0
MAIRS AND POWER INV	030	QCOM	B	10,000	64.70	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	QCOM	S	20,000	64.24	n/a	n/a	600.00	3.0
FRED ALGER MGMT	070	RHT	B	70,000	50.29	n/a	n/a	2,520.00	0.0
PRIMECAP MGMT	084	SCHW	B	10,000	16.46	n/a	n/a	400.00	0.0
SANDLER CAPITAL	028	SHW	B	50,000	172.75	n/a	n/a	2,500.00	0.0
PARAMETER CAPITAL MGMT LLC044		STI	B	25,000	27.69	n/a	n/a	750.00	3.0
BASSWOOD PARTNERS	267	STT	S	18,300	57.10	n/a	5-Apr	732.00	0.0
RBC CAPITAL MARKETS	040	STT	B	25,000	56.88	n/a	5-Apr	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	STX	B	444,080	34.67	n/a	n/a	17,763.20	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	25,000	68.79	n/a	16-Apr	750.00	3.0
EVERGREEN	047	TIBX	B	32,800	19.40	n/a	n/a	1,312.00	0.0
SOROS	036	TIBX	B	100,000	19.39	n/a	n/a	4,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	TPX	C	4,500	45.32	n/a	n/a	135.00	0.0
APEX CAPITAL MGMT.	033	TXT	B	50,000	25.68	n/a	n/a	2,000.00	0.0
PARAMETER CAPITAL MGMT LLC044		UAL	B	50,000	30.55	n/a	15-Apr	1,500.00	3.0
ADAGE CAPITAL MGMT	030	URBN	B	60,000	39.35	n/a	n/a	1,800.00	3.0
SURVEYOR CAPITAL	251	URBN	S	11,183	39.35	n/a	n/a	335.49	0.0
RIVERPARK CAPITAL	025	WAG	B	8,100	49.14	n/a	n/a	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	WEC	B	25,000	42.73	n/a	n/a	1,000.00	0.0
NEUBERGER BERMAN	036	WMT	B	58,511	78.68	n/a	22-Feb	2,340.44	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	90,000	29.60	n/a	17-Apr	4,500.00	5.0
RIDGECREST INV MGMT LLC	028	XLB	SS	5,000	37.36	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	XLF	SS	50,000	18.13	n/a	n/a	1,500.00	0.0
RIDGECREST INV MGMT LLC	028	XOP	SS	10,000	54.44	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	30,000	70.72	n/a	n/a	900.00	0.0
RIVERPARK CAPITAL	025	YHOO	B	14,051	23.48	n/a	n/a	702.55	5.0
TOTAL (Trade Date) :								144,861.60	

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):									144,861.60
---------------------	--	--	--	--	--	--	--	--	------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									144,861.60
-------------------------	--	--	--	--	--	--	--	--	------------

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