



Daily Compliance Activity Report

Trade Date: 05/21/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	100,000	5.25	n/a	n/a	3,000.00	0.0
LATEEF MGMT	033	AAPL	S	30	440.16	n/a	n/a	25.50	0.0
LEVIN CAPITAL STRATEGIES	041	AEO	S	6,671	20.10	n/a	2-Dec	200.13	0.0
CR INTRINIC INVESTMENT	044	ANF	S	10,000	53.93	n/a	n/a	300.00	0.0
RIVERLOFT CAPITAL	044	ARCP	S	21,500	17.82	n/a	n/a	645.00	0.0
LIONEYE CAPITAL	040	ARRS	B	25,000	16.41	n/a	n/a	1,250.00	0.0
SENATOR INVESTMENT GROUP	036	ASH	S	20,000	90.34	n/a	n/a	600.00	0.0
LATEEF MGMT	033	ATI	S	300	30.74	n/a	14-May	30.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	10,000	16.85	n/a	20-May	400.00	0.0
LATEEF MGMT	033	BA	S	100	98.26	n/a	16-May	30.00	0.0
OSKIE CAPITAL MGMT	224	BBRY	B	30,000	14.80	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	BBT	S	300	32.67	n/a	n/a	30.00	0.0
SIGMA CAPITAL ASSOCIATES	041	BBY	B	50,000	25.68	n/a	n/a	1,500.00	0.0
ROTHSCHILD ASSET	040	BTU	B	47,773	21.41	n/a	n/a	1,910.92	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	CAVM	S	100,000	33.25	n/a	n/a	4,000.00	0.0
Õ Jack Chernus		CELG	S	5	1.2000	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	COG	S	23,895	71.42	n/a	20-May	1,194.75	0.0
CRAMER ROSENTHAL	070	COV	B	25,250	65.89	n/a	n/a	1,010.00	0.0
ARDSLEY PARTNERS	044	CSIQ	S	50,000	9.21	n/a	n/a	1,500.00	0.0
Õ Jack Chernus		C	S	10	0.7500	n/a	17-May	0.00	0.0
Õ Jack Chernus		DAL	S	6	0.4700	n/a	20-May	0.00	0.0
FIRST NY SEC/CHRIS	041	DKS	B	10,000	52.87	n/a	21-May	500.00	0.0
HIGHFIELDS CAP MGMT	030	DLTR	S	28,800	49.46	n/a	14-May	1,152.00	0.0
S.A.C. CAPITAL	044	DLTR	B	40,000	49.45	n/a	14-May	1,200.00	0.0
SURVEYOR CAPITAL	251	DLTR	S	20,000	49.40	n/a	14-May	600.00	0.0
LATEEF MGMT	033	DOW	S	300	35.58	n/a	n/a	30.00	0.0
SENATOR INVESTMENT GROUP	036	EMN	S	96,855	73.41	n/a	n/a	2,905.65	0.0
FEIN	084	FINL	B	25,000	21.68	n/a	15-May	750.00	0.0
WEXFORD CAPITAL	284	F	S	50,000	14.99	n/a	20-May	1,500.00	0.0
FIRST NY SEC/CHRIS	041	GM	B	10,000	33.86	n/a	20-May	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	INTC	S	350	24.20	n/a	n/a	35.00	0.0
LATEEF MGMT	033	JCI	S	300	37.66	n/a	6-May	30.00	0.0
BASSWOOD PARTNERS	267	JWN	C	8,300	61.00	n/a	17-May	332.00	0.0
Õ Jack Chernus		LCC	B	1000	18.2000	n/a	20-May	0.00	0.0
Õ Jack Chernus		LCC	S	10	0.4400	n/a	20-May	0.00	0.0
RBC CAPITAL MARKETS	040	LUFK	B	18,900	88.19	n/a	n/a	567.00	0.0
SCOPUS FUND	041	LYB	S	50,000	66.06	n/a	n/a	2,000.00	0.0
GATOR CAPITAL MGMT LLC	093	MET	S	8,500	42.99	n/a	n/a	255.00	0.0
PARAMETER CAPITAL MGMT LLC	044	MTW	S	30,000	20.69	n/a	11-Jul	900.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	35.35	n/a	16-May	200.00	0.0
PECONIC PARTNERS	036	NXPI	B	100,000	30.09	n/a	n/a	4,000.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	PRXL	S	20,671	46.35	n/a	n/a	n/a	620.13 0.0
MAIRS AND POWER INV	030	QCOM	B	10,000	65.81	n/a	n/a	500.00	0.0
ROSEDALE CAPITAL	046	RDSA	S	5,000	68.65	n/a	n/a	250.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	100	2.35	n/a	n/a	3.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	S	10,000	7.40	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	SWN	B	58,775	40.25	n/a	20-May	2,938.75	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086			TM	B	10,000	129.36	n/a	n/a	300.00 0.0
LOMAS CAPITAL	040	USB	B	20,000	35.26	n/a	n/a	600.00	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	13,541	14.90	n/a	n/a	541.64	0.0
LOMAS CAPITAL	040	WFC	S	38,000	40.73	n/a	6-May	1,140.00	0.0
RIVERLOFT CAPITAL	044	WFT	S	50,000	14.18	n/a	n/a	1,500.00	0.0
LOMAS CAPITAL	040	WLH	S	23,300	26.09	n/a	n/a	699.00	0.0
MERRILL ASSET/BLACKROCK	297	WSH	S	36,300	41.01	n/a	n/a	1,452.00	0.0
BTG PACTUAL	040	YUM	S	10,000	70.32	n/a	20-May	300.00	0.0
CASTLEROCK	040	YUM	S	6,655	70.37	n/a	20-May	266.20	0.0
TOTAL (Trade Date):								47,893.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/17	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	4,735	2.35	n/a	n/a	142.05 0.0
AO,CRT	05/17	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	4,735	2.35	n/a	n/a	94.70 2.0
AO,CXL	05/20	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	3,900	2.33	n/a	n/a	117.00 0.0
AO,CRT	05/20	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040		ROIAK	B	3,900	2.33	n/a	n/a	78.00 2.0

TOTAL (AO, CXL, CRT) :**-86.35**

TOTAL (Trade Date) :

47,893.67

TOTAL (AO, CXL, CRT) :

-86.35

TOTAL (RUN DATE) / NFS:**47,807.32**

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