



Daily Compliance Activity Report

Trade Date: 04/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jack Chernus		ARCO	S	2000	13.2000	n/a	29-Apr	0.00	0.0
Õ Jack Chernus		ARCO	S	400	13.2500	n/a	29-Apr	0.00	0.0
Õ Jack Chernus		ARCO	S	500	13.2500	n/a	29-Apr	0.00	0.0
Õ Jack Chernus		ARCO	S	500	13.2500	n/a	29-Apr	0.00	0.0
Õ Jack Chernus		ARCO	S	700	13.2500	n/a	29-Apr	0.00	0.0
LATEEF MGMT	033	ATI	B	150	26.80	n/a	24-Apr	30.00	0.0
CHANNING CAPITAL	031	BEAM	B	14,659	64.79	n/a	n/a	586.36	0.0
IVORY CAPITAL	084	BSX	B	62,500	7.49	n/a	n/a	2,500.00	0.0
MILLRACE FUND LP	028	BWA	SS	9,000	78.14	n/a	26-Apr	360.00	0.0
RAINIER INV MGMT	033	CBST	S	75,110	46.95	n/a	n/a	3,004.40	0.0
CHANNING CAPITAL	031	COL	B	12,990	62.13	n/a	25-Apr	519.60	0.0
CHANNING CAPITAL	031	CYT	B	15,385	72.76	n/a	n/a	615.40	0.0
PRIMECAP MGMT	084	DAL	B	7,000	16.93	n/a	24-Apr	280.00	0.0
CHANNING CAPITAL	031	DLPH	B	19,537	45.23	n/a	n/a	781.48	0.0
IVORY CAPITAL	084	DOW	SS	49,100	33.84	n/a	n/a	2,455.00	0.0
COLUMBIA PARTNERS	028	DPZ	B	22,532	53.05	n/a	29-Apr	901.28	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	DPZ	B	5,000	52.62	n/a	29-Apr	200.00	0.0
LATEEF MGMT	033	DVN	B	125	54.86	n/a	18-Apr	31.25	0.0
MERRILL ASSET/BLACKROCK	297	EDD	B	29,155	17.25	n/a	n/a	1,166.20	0.0
CLEARLINE CAPITAL LLC	040	FIRE	SS	200	51.13	n/a	n/a	6.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	30.65	n/a	29-Apr	1,000.00	0.0
FORTRESS INVESTMENT (US)	036	GOOG	B	2,100	819.57	n/a	n/a	84.00	0.0
LATEEF MGMT	033	HPQ	B	250	20.43	n/a	n/a	30.00	0.0
COUGAR TRADING	044	JNY	S	5,000	14.12	n/a	25-Apr	250.00	0.0
TALO	006	LCC	B	7,500	16.82	n/a	24-Apr	375.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	15,000	57.12	n/a	29-Apr	300.00	0.0
CHANNING CAPITAL	031	MAN	B	29,537	52.59	n/a	n/a	1,181.48	0.0
SAGE ASSET MGMT	025	MAS	B	26,000	20.57	n/a	n/a	1,300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	NKE	B	50,000	62.55	n/a	29-Apr	1,500.00	0.0
LATEEF MGMT	033	NUE	B	125	43.15	n/a	n/a	31.25	0.0
MERRILL ASSET/BLACKROCK	297	PGR	B	26,730	25.24	n/a	n/a	1,069.20	0.0
INVESCO	031	PHM	B	1,075,655	21.32	n/a	n/a	43,026.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHANNING CAPITAL	031	PVH	B	7,300	115.49	n/a	22-Apr	292.00	0.0
EPOCH INV MGMT	030	RYL	S	131,152	45.52	n/a	n/a	3,934.56	0.0
IVORY CAPITAL	084	SPY	C	9,900	159.30	n/a	n/a	99.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	2,371	7.30		n/a	n/a	47.42 0.0
LATEEF MGMT	033	SWY	B	450	23.56	n/a	n/a	45.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	UNH	S	16,051	59.88		n/a	n/a	513.63 0.0
MERRILL ASSET/BLACKROCK	297	USB	B	19,644	33.18	n/a	n/a	785.76	0.0
TIEDEMANN/TIG ADVISORS LLC	006	WTSL	S	10,000	3.27	n/a	n/a	300.00	0.0
KAM ADVISORS LLC	041	X	C	77,500	17.63	n/a	n/a	2,325.00	0.0
TOTAL (Trade Date) :								71,926.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/25	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	S	5,000	76.06	n/a	26-Apr	250.00 0.0
AO,CRT	04/25	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	S	5,000	76.06	n/a	26-Apr	150.00 3.0
AO,CXL	04/25	NEUBERGER BERMAN (NBER777046)	036	DLR	S	500	72.49	n/a	n/a	20.00 0.0
AO,CXL	04/25	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	20,000	13.54	n/a	29-Apr	1000.00 0.0
AO,CRT	04/25	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	20,000	13.54	n/a	29-Apr	600.00 3.0
AO,CXL	04/26	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	30,000	13.60	n/a	29-Apr	1500.00 0.0
AO,CRT	04/26	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	30,000	13.60	n/a	29-Apr	900.00 0.0
AO,	04/23	NEUBERGER BERMAN (NBER771824)	036	FELE	B	100	31.16	n/a	n/a	4.00 0.0
AO,	04/23	NEUBERGER BERMAN (NBER502173)	036	FELE	B	100	31.16	n/a	n/a	4.00 0.0
AO,CXL	04/23	NEUBERGER BERMAN (NBER9W04)	036	FELE	B	700	31.16	n/a	n/a	28.00 0.0
AO,	04/23	NEUBERGER BERMAN (NBER701566)	036	FELE	B	100	31.16	n/a	n/a	4.00 0.0
AO,	04/23	NEUBERGER BERMAN (NBER502409)	036	FELE	B	50	31.16	n/a	n/a	2.00 0.0
AO,CXL	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	10,000	17.25	n/a	29-Apr	400.00 0.0
AO,CXL	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	10,000	17.00	n/a	29-Apr	400.00 0.0
AO,CXL	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	25,000	16.74	n/a	29-Apr	1000.00 0.0
AO,CRT	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	10,000	17.25	n/a	29-Apr	500.00 5.0
AO,CRT	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	10,000	17.00	n/a	29-Apr	500.00 5.0
AO,CRT	04/26	MFP INVESTORS (MFPIGS)	085	JCP	S	25,000	16.74	n/a	29-Apr	1250.00 5.0
AO,CXL	04/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	LEA	S	10,000	57.20	n/a	29-Apr	400.00 0.0
AO,CRT	04/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	LEA	S	10,000	57.20	n/a	29-Apr	200.00 0.0
AO,CXL	04/24	TUDOR INVESTORS (TUDRJMPMB)	028	LEN	S	5,000	41.82	n/a	n/a	1.50 0.0
AO,CRT	04/24	TUDOR INVESTORS (TUDRJMPMB)	028	LEN	S	5,000	41.82	n/a	n/a	150.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/26	COLUMBUS CIRCLE (COLC3040)	036	PKI	S	13,323	30.27	n/a	n/a	532.92 0.0
AO,	04/26	COLUMBUS CIRCLE (COLC3050)	036	PKI	S	8,732	30.27	n/a	n/a	349.28 0.0
AO,CRT	04/26	FIRST NEW YORK (FNYS)	086	XRT	B	25,000	72.79	n/a	n/a	750.00 3.0
TOTAL (AO, CXL, CRT) :										896.70
TOTAL (Trade Date) :										71,926.47
TOTAL (AO, CXL, CRT) :										896.70
TOTAL (RUN DATE) / NFS:										72,823.17

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