



## Daily Compliance Activity Report

Trade Date: 06/13/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	AIG	S	886,552	45.80	n/a	n/a	35,462.08	0.0
SCOGGIN LLC	041	ARCP	B	50,100	14.45	n/a	n/a	2,505.00	0.0
LOMAS CAPITAL	040	AXLL	B	35,000	43.44	n/a	n/a	1,050.00	0.0
SCOPUS FUND	041	AXL	S	7,947	18.25	n/a	13-Jun	317.88	0.0
SANDLER O'NEILL ASSET	031	AXP	B	11,700	74.45	n/a	11-Jun	585.00	0.0
BALYASNY ASSET MGMT	044	BG	C	25,000	70.71	n/a	n/a	1,250.00	0.0
CENTURION PARTNERS	041	CIT	S	5,000	45.31	n/a	13-Jun	200.00	0.0
CASTLE ARK	031	CME	B	30,000	72.92	n/a	28-Apr	1,200.00	0.0
MERRILL ASSET/BLACKROCK	085	COF	B	27,900	61.86	n/a	6-Jun	1,116.00	0.0
JET CAPITAL/CHRIS	041	COV	B	100,000	63.96	n/a	n/a	4,000.00	0.0
SCOGGIN LLC	041	CP	B	4,900	121.77	n/a	n/a	245.00	0.0
LATEEF MGMT	033	CTB	S	4,975	33.90	n/a	n/a	497.50	0.0
OTTER CREEK MGMT	093	DRI	SS	30,000	52.68	n/a	13-May	1,200.00	0.0
LISTED ERR	099	DRI	B	2,515	52.54	n/a	13-May	0.00	0.0
LISTED ERR	099	DRI	SS	60,000	52.68	n/a	13-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DRI	S	2,515	52.67	n/a	13-May	0.00	0.0
CHARTERBRIDGE CAPITAL	025	EBAY	B	6,780	51.20	n/a	n/a	203.40	0.0
TUDOR INVESTORS	028	ETN	B	5,000	63.84	n/a	12-Jun	150.00	0.0
ACK ASSET	028	FDX	B	7,000	98.45	n/a	n/a	210.00	0.0
SUFFOLK CAPITAL MGMT	040	FIVE	S	22,931	36.04	n/a	13-Jun	917.24	0.0
J. GOLDMAN	028	FL	B	20,000	34.22	n/a	12-Jun	800.00	0.0
ENTRUST CAPITAL	040	GCO	B	25,000	69.45	n/a	n/a	1,250.00	0.0
NORTHWESTERN MUTUAL LIFE	047	GHL	B	14,679	47.41	n/a	n/a	587.16	0.0
SUFFOLK CAPITAL MGMT	040	GIII	B	5,200	47.93	n/a	n/a	208.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	34.46	n/a	13-Jun	1,000.00	0.0
HARVEST MGMT (JMP)	029	GM	B	20,000	33.62	n/a	13-Jun	800.00	0.0
SCOPUS FUND	041	GM	B	20,000	33.95	n/a	13-Jun	800.00	0.0
KEYGROUP/KGLT	040	GPOR	B	25,000	50.07	n/a	n/a	1,000.00	0.0
SUFFOLK CAPITAL MGMT	040	IBM	S	11,290	201.37	n/a	n/a	451.60	0.0
BRONSON POINT	036	IP	B	50,000	45.63	n/a	11-Jun	1,500.00	0.0
CENTURION PARTNERS	041	JCP	B	50,000	18.09	n/a	12-Jun	2,000.00	0.0
FEINBERG INVESTMENTS	084	JCP	B	100,000	18.18	n/a	12-Jun	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	085	JLL	B	6,800	88.25	n/a	n/a	272.00	0.0
SUFFOLK CAPITAL MGMT	040	JPM	S	9,300	53.21	n/a	6-Jun	372.00	0.0
KADE CAPITAL LLC	028	KORS	S	10,000	59.50	n/a	30-May	400.00	0.0
SCOPUS FUND	041	LAD	B	5,000	53.77	n/a	n/a	200.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	26,743	16.63	n/a	12-Jun	1,337.15	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	3,257	16.64	n/a	12-Jun	162.85	0.0
HIGHBRIDGE CAP	041	LYB	B	2,249	66.57	n/a	n/a	67.47	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MCO	C	10,000	62.55	n/a	n/a	300.00	0.0
KING STREET CAPITAL	086	MGM	S	50,000	14.84	n/a	13-Jun	2,000.00	0.0
BRONSON POINT	036	MTW	B	50,000	19.49	n/a	11-Jul	1,500.00	0.0
BARROW HANLEY MEWHINNEY	031	M	B	5,000	48.15	n/a	12-Jun	150.00	0.0
J. GOLDMAN	028	M	SS	25,000	48.74	n/a	12-Jun	1,000.00	0.0
SCOGGIN LLC	041	NNN	S	6,800	35.21	n/a	n/a	340.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NXTM	B	23,600	13.86	n/a	n/a	944.00	0.0
SCOGGIN LLC	041	O	S	10,500	43.49	n/a	n/a	525.00	0.0
COLUMBUS CIRCLE	036	PFPT	B	921	22.78	n/a	n/a	36.84	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	243	PVH	S	100,000	122.01	n/a	13-Jun	4,000.00	0.0
HIGHBRIDGE CAP	041	TRW	B	3,849	64.92	n/a	n/a	115.47	0.0
ROYCE TRADING	031	UNT	B	11,600	44.75	n/a	13-Jun	580.00	0.0
BALYASNY ASSET MGMT	044	WBC	B	25,000	75.71	n/a	31-May	1,250.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WFM	C	14,200	51.09	n/a	n/a	426.00	0.0
SUFFOLK CAPITAL MGMT	040	WG	B	50,000	6.92	n/a	n/a	1,500.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	27.81	n/a	12-Jun	1,000.00	0.0
HIGHBRIDGE CAP	041	XLU	B	36,871	37.94	n/a	n/a	737.42	0.0
<b>TOTAL (Trade Date) :</b>								<b>83,722.06</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/12	STELLIAM INV ADV (STLLCSFB)	086	KND	B	4,400	13.45	n/a	n/a	0.00	0.0
AO,	06/12	STELLIAM INV ADV (STLLCSFB)	086	KND	B	4,400	13.45	n/a	n/a	176.00	0.0
AO,CXL	06/12	STELLIAM INV ADV (STLLMSEXEC)	086	KND	B	30,600	13.45	n/a	n/a	0.00	0.0
AO,	06/12	STELLIAM INV ADV (STLLMSEXEC)	086	KND	B	30,600	13.45	n/a	n/a	1224.00	0.0
AO,CXL	06/12	PIMCO (PIMCSS)	084	SAVE	S	32,308	31.47	n/a	10-Jun	1292.32	0.0
AO,	06/12	PIMCO (PIMC4975G)	084	SAVE	S	32,308	31.47	n/a	10-Jun	1292.32	0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,400.00</b>
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TOTAL (Trade Date) :	83,722.06
TOTAL (AO, CXL, CRT) :	1,400.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>85,122.06</b>
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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