



Daily Compliance Activity Report

Trade Date: 06/03/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	AHL	S	26,200	36.35	n/a	n/a	917.00	0.0
NWQ INVESTMENT MGMT CO	084	AIN	S	20,000	32.11	n/a	n/a	700.00	0.0
MACELLUM CAPITAL	086	ASNA	B	73,000	19.99	n/a	n/a	2,190.00	0.0
NWQ INVESTMENT MGMT CO	084	AWH	S	2,300	89.42	n/a	n/a	80.50	0.0
ARDSLEY PARTNERS	044	AXL	B	25,000	18.06	n/a	3-Jun	1,250.00	0.0
SCOPUS FUND	041	AXL	S	75,523	18.11	n/a	3-Jun	3,020.92	0.0
SANDLER CAPITAL	028	BEAM	S	135,000	64.23	n/a	n/a	5,400.00	0.0
NWQ INVESTMENT MGMT CO	084	BKI	S	28,135	37.29	n/a	n/a	984.73	0.0
NWQ INVESTMENT MGMT CO	084	BOBE	S	30,000	46.03	n/a	n/a	1,050.00	0.0
KEYGROUP/KGLT	040	CIE	B	25,000	25.99	n/a	n/a	1,000.00	0.0
TOCQUEVILLE	046	CKP	S	50,000	13.79	n/a	n/a	2,500.00	0.0
PECONIC PARTNERS	036	CLR	B	50,000	82.72	n/a	n/a	2,500.00	0.0
NWQ INVESTMENT MGMT CO	084	COHR	S	24,800	58.10	n/a	n/a	868.00	0.0
S.A.C. CAPITAL	044	COH	SS	15,000	58.29	n/a	30-May	450.00	0.0
NWQ INVESTMENT MGMT CO	084	COT	S	30,500	8.07	n/a	n/a	915.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SANDLER O'NEILL ASSET	031	C	S	15,000	52.00	n/a	3-Jun	750.00	0.0	
IVORY CAPITAL	084	DAL	B	100,000	17.65	n/a	20-May	5,000.00	0.0	
CLOVIS CAPITAL	033	EMR	SS	20,000	57.15	n/a	n/a	1,000.00	0.0	
NWQ INVESTMENT MGMT CO	084	ENS	S	7,900	49.90	n/a	n/a	276.50	0.0	
KENNEDY CAPITAL	046	FINL	B	20,631	20.75	n/a	30-May	825.24	0.0	
NWQ INVESTMENT MGMT CO	084	FOR	S	35,000	22.45	n/a	9-May	1,225.00	0.0	
TIDE POINT CAPITAL	028	GM	B	15,000	34.39	n/a	3-Jun	450.00	0.0	
TROUBH PART	070	GM	S	25,000	34.35	n/a	3-Jun	1,250.00	0.0	
CSFB GLOBAL PROPRIETARY	041	GPK	B	20,000	7.56	n/a	n/a	1,000.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	45.07	n/a	15-May	750.00	0.0	
SCOPUS FUND	041	IR	S	39,306	57.92	n/a	9-May	1,572.24	0.0	
PAULSON & CO INC	041	IWM	SS	100,000	98.02	n/a	n/a	4,000.00	0.0	
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	17.83	n/a	22-May	750.00	0.0	
FRONTIER	029	JEC	B	98,403	57.19	n/a	n/a	3,936.12	0.0	
RIDGECREST INV MGMT LLC	028	KOP	S	2,500	39.85	n/a	n/a	100.00	0.0	
NUVEEN - US BANCORP		030	KSU	S	14,719	108.92	n/a	n/a	662.37	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	16.63	n/a	31-May	3,750.00	0.0	
DC CAPITAL	044	LPX	B	50,000	16.56	n/a	31-May	2,000.00	0.0	
LOMAS CAPITAL	040	LPX	B	168,300	17.09	n/a	31-May	5,049.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	LPX	B	277,000	17.01	n/a	31-May	13,850.00	0.0
NUVEEN - US BANCORP		030	MCK	S	14,559	112.11	n/a	n/a	655.16	0.0
PECONIC PARTNERS	036	NBL	B	50,000	57.91	n/a	n/a	2,500.00	0.0	
NWQ INVESTMENT MGMT CO	084	NP	S	24,083	31.39	n/a	13-May	842.91	0.0	
CSFB GLOBAL PROPRIETARY	041	RKT	B	1,770	96.89	n/a	15-May	88.50	0.0	
SHEFFIELD ASSET MGMT	031	RKT	B	41,500	97.24	n/a	15-May	1,660.00	0.0	
SCOGGIN CAP	041	SFD	S	92,000	32.86	n/a	n/a	4,600.00	0.0	
BASSWOOD PARTNERS	267	SNV	B	250,000	2.71	n/a	n/a	7,500.00	0.0	
STRONG/MARK GRONET	030	SSI	B	126,135	22.69	n/a	21-May	5,045.40	0.0	
VERITION	028	ST	B	5,000	34.64	n/a	n/a	150.00	0.0	
VERITION	028	TEX	B	10,000	34.76	n/a	n/a	300.00	0.0	
WAGONHOUND/NICOLAS	033	TGT	S	19,253	69.54	n/a	23-May	770.12	0.0	
NWQ INVESTMENT MGMT CO	084	TMS	S	10,000	15.11	n/a	n/a	350.00	0.0	
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	10,000	20.63	n/a	n/a	300.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIEDEMANN/TIG ADVISORS LLC006		WTSL	S	24,200	4.84	n/a	n/a	1,210.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	29.87	n/a	31-May	2,500.00	0.0
WOOSTER CAPITAL	044	WY	B	50,000	29.90	n/a	31-May	2,000.00	0.0
TOTAL (Trade Date) :								102,494.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/31	INTERVAL PARTNERS (INTVJPMPB)	033	DLTR	SS	7,100	49.12	n/a	24-May	213.00 0.0
AO,CXL	05/31	INTERVAL PARTNERS (INTVJPMBDS)	033	DLTR	SS	7,100	49.12	n/a	24-May	213.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	102,494.71
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	102,494.71
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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