



## Daily Compliance Activity Report

Trade Date: 06/10/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	ARE	S	17,500	67.49	n/a	n/a	700.00	0.0
ARDSLEY PARTNERS	280	ARII	B	5,000	34.39	n/a	n/a	250.00	0.0
HIGHBRIDGE CAP	041	BEAV	B	4,252	64.74	n/a	14-May	127.56	0.0
CLEARLINE CAPITAL LLC	040	BNNY	SS	10,000	41.60	n/a	n/a	300.00	0.0
HIGHBRIDGE CAP	041	CF	B	2,927	194.09	n/a	n/a	87.81	0.0
COHE & STEERS	041	DLR	S	40,065	61.33	n/a	n/a	1,602.60	0.0
HIGHBRIDGE CAP	041	DOW	SS	14,787	34.40	n/a	n/a	443.61	0.0
MERRILL ASSET/BLACKROCK	085	EV	S	34,600	40.64	n/a	n/a	1,384.00	0.0
CENTURION PARTNERS	041	FB	B	30,000	24.37	n/a	n/a	1,200.00	0.0
MACELLUM CAPITAL	086	FL	SS	45,000	35.22	n/a	5-Jun	1,350.00	0.0
BTG PACTUAL	040	F	SS	25,000	15.70	n/a	10-Jun	750.00	0.0
COLUMBUS CIRCLE	036	GIII	B	3,914	49.48	n/a	n/a	156.56	0.0
CYRUS CAPITAL	025	GM	B	12,000	34.59	n/a	10-Jun	360.00	0.0
LAKEWOOD CAPITAL MGMT	085	GORO	C	15,000	9.71	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	GPK	SS	30,000	7.62	n/a	n/a	1,500.00	0.0
CLEARLINE CAPITAL LLC	040	HNT	B	4,461	31.14	n/a	n/a	133.83	0.0
COHE & STEERS	041	HOT	S	11,900	68.81	n/a	13-Jun	476.00	0.0
FORTRESS INVESTMENT (US)	036	IWM	SS	61,000	98.61	n/a	n/a	1,830.00	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>JBLU</b>	<b>B</b>	<b>30,000</b>	<b>6.40</b>	<b>n/a</b>	<b>10-Jun</b>	<b>1,200.00</b>	<b>0.0</b>
ARDSLEY PARTNERS	280	JCI	B	25,000	37.77	n/a	10-Jun	1,250.00	0.0
SCOPUS FUND	041	LAD	B	10,000	55.73	n/a	n/a	400.00	0.0
ROYCE TRADING	031	LAZ	B	8,700	33.96	n/a	6-May	435.00	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>LCC</b>	<b>B</b>	<b>20,000</b>	<b>17.23</b>	<b>n/a</b>	<b>10-Jun</b>	<b>800.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	LPX	S	15,000	16.82	n/a	7-Jun	750.00	0.0
HIGHBRIDGE CAP	041	LYB	B	2,310	64.99	n/a	n/a	69.30	0.0
TUDOR INVESTORS	028	MAS	S	20,000	20.29	n/a	n/a	6.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MCD	SS	25,000	99.52	n/a	10-Jun	750.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.58	n/a	n/a	1,000.00	0.0
COHE & STEERS	041	O	S	4,800	44.49	n/a	n/a	192.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	PH	SS	5,000	98.46	n/a	n/a	1.50	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	8,000	101.37	n/a	5-Jun	400.00	0.0
HALCYON LLC	041	S	S	250,000	7.21	n/a	n/a	5,000.00	0.0
ARDSLEY PARTNERS	280	TRN	B	15,000	40.11	n/a	n/a	750.00	0.0
HIGHBRIDGE CAP	041	TXT	SS	9,524	27.00	n/a	n/a	285.72	0.0
ROYCE TRADING	041	UNT	B	22,700	45.36	n/a	7-Jun	1,135.00	0.0
TUDOR INVESTORS	028	XHB	B	15,000	30.32	n/a	n/a	4.50	0.0
CSFB GLOBAL PROPRIETARY	041	XLB	B	35,000	40.35	n/a	n/a	1,750.00	0.0
NEWLAND CAPITAL MGT	025	ZINC	S	10,000	11.95	n/a	n/a	400.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>29,680.99</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/06	VISIUM/BALY BOBBY (VISBJPME)	044	AA	SS	29,880	8.24	n/a	n/a	1195.20	0.0
AO,CXL	06/06	VISIUM/BALY BOBBY (VISBJPMC)	044	AA	SS	29,880	8.24	n/a	n/a	1195.20	0.0
AO,	06/06	VISIUM/BALY BOBBY (VISBJPME)	044	ANR	SS	29,880	6.67	n/a	n/a	1195.20	0.0
AO,CXL	06/06	VISIUM/BALY BOBBY (VISBJPMC)	044	ANR	SS	29,880	6.67	n/a	n/a	1195.20	0.0
AO,CXL	06/06	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	FSL	S	29,882	15.53	n/a	n/a	597.64	0.0	
AO,	06/06	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	FSL	S	29,882	15.53	n/a	n/a	896.46	0.0	

**TOTAL (AO, CXL, CRT) :****298.82**

TOTAL (Trade Date) :

29,680.99

TOTAL (AO, CXL, CRT) :

298.82

**TOTAL (RUN DATE) / NFS:****29,979.81**

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