



Daily Compliance Activity Report

Trade Date: 05/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STANDARD PACIFIC CAPITAL	084	AAMRQ	B	252,900	5.48	n/a	n/a	7,587.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	ACC	B	5,000	42.03	n/a	n/a	159.98	0.0
ARDSLEY PARTNERS	280	AXL	S	25,000	17.40	n/a	28-May	1,250.00	0.0
DC CAPITAL	044	BA	B	25,000	99.33	n/a	28-May	1,000.00	0.0
ARDSLEY PARTNERS	280	BG	S	10,000	70.48	n/a	n/a	500.00	0.0
S.A.C. CAPITAL	044	COH	B	25,000	58.35	n/a	24-Apr	750.00	0.0
RAINIER INV MGMT	033	CRZO	B	11,090	27.09	n/a	n/a	443.60	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CSX	S	78,027	25.21	n/a	n/a	2,496.87	0.0
SENATOR INVESTMENT GROUP	036	DAL	B	30,000	18.28	n/a	20-May	900.00	0.0
GOLD SACHS SPECIAL SIT	030	DAN	S	38,500	19.15	n/a	20-May	1,925.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	DDR	B	33,276	18.17	n/a	n/a	1,064.82	0.0
FORTRESS INVESTMENT (US)	036	EWZ	B	111,500	52.40	n/a	n/a	3,345.00	0.0
TRELLUS PARTNERS LP	028	F	SS	25,000	15.46	n/a	28-May	250.00	0.0
M&I FUNDS	047	GES	S	15,076	29.28	n/a	22-Apr	603.04	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	20,000	34.21	n/a	28-May	600.00	0.0
ROSEDALE CAPITAL	046	GM	S	15,000	34.03	n/a	28-May	750.00	0.0
S.A.C. CAPITAL	044	GPS	B	20,000	40.00	n/a	n/a	600.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	HCN	B	6,000	69.70	n/a	n/a	191.99	0.0
MOORE CAPITAL	257	IP	B	50,000	46.85	n/a	15-May	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	IWM	SS	61,000	98.23	n/a	n/a	2,440.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	18.45	n/a	22-May	1,500.00	0.0
GABELLI FUNDS	025	KORS	B	6,000	62.29	n/a	29-May	300.00	0.0
JET CAPITAL/CHRIS	041	LPS	B	50,000	33.24	n/a	n/a	1,500.00	0.0
ROYSTONE CAPITAL	040	LVLTT	B	25,000	20.97	n/a	n/a	500.00	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	13,500	35.56	n/a	29-May	675.00	0.0
LAKEWOOD CAPITAL MGMT	085	MX	B	48,212	18.23	n/a	n/a	1,446.36	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	S	11,000	47.05	n/a	24-May	550.00	0.0
ASCEND PARTNERS	033	PLCE	B	11,800	52.30	n/a	24-May	354.00	0.0
ROARING BLUE LION MGMT	031	PLCE	S	21,400	52.35	n/a	24-May	856.00	0.0
SANDLER O'NEILL ASSET	031	RJF	SS	49,756	43.71	n/a	n/a	2,487.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	100.25	n/a	15-May	750.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	29,600	2.34	n/a	n/a	592.00	0.0
ARDSLEY PARTNERS	280	SAFM	B	5,000	67.37	n/a	n/a	250.00	0.0
RBC CAPITAL MARKETS	040	SFD	B	40,000	32.55	n/a	n/a	1,200.00	0.0
LOMAS CAPITAL	040	WFC	S	73,139	40.26	n/a	6-May	2,194.17	0.0
BRONSON POINT	036	WWW	C	25,000	53.42	n/a	n/a	750.00	0.0
UNITED STATES PENSION	085	XOM	S	272,300	91.87	n/a	n/a	10,892.00	0.0
TOTAL (Trade Date) :								55,154.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/24	IMPALA ASSET MMT (IMPACITI)	040	CSX	S	1,040	25.19	n/a	n/a	52.00 0.0
AO,CRT	05/24	IMPALA ASSET MMT (IMPACITI)	040	CSX	S	1,040	25.19	n/a	n/a	41.60 4.0
AO,CXL	05/28	DELTEC ASSET MGMT. (DELTPEPSPB)	040	GLW	S	18,000	15.92	n/a	n/a	740.00 0.0
AO,CRT	05/28	DELTEC ASSET MGMT. (DELTPEPSPB)	040	GLW	S	18,000	15.92	n/a	n/a	720.00 4.0
AO,	05/28	SANDLER O'NEILL ASSET (SANOMSIL)	031	NYCB	B	1,709	13.68	n/a	24-Apr	85.45 0.0
AO,CXL	05/28	SANDLER O'NEILL ASSET (SANO)	031	NYCB	B	1,709	13.68	n/a	24-Apr	85.45 0.0
AO,CXL	05/23	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	20,642	2.32	n/a	n/a	619.26 0.0
AO,CRT	05/23	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	20,642	2.32	n/a	n/a	412.84 2.0
AO,CXL	05/28	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	100,000	2.35	n/a	n/a	3000.00 0.0
AO,CRT	05/28	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM) 040	ROI	AK	B	100,000	2.35	n/a	n/a	2000.00 2.0
TOTAL (AO, CXL, CRT) :										-1,236.82
TOTAL (Trade Date) :										55,154.63
TOTAL (AO, CXL, CRT) :										-1,236.82
TOTAL (RUN DATE) / NFS :										53,917.81

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