



Daily Compliance Activity Report

Trade Date: 04/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	APA	B	250	71.82	n/a	18-Apr	8.75	0.0
SYMPHONY ASSET	033	AVGO	S	9,797	32.10	n/a	n/a	293.91	0.0
ROSEDALE CAPITAL	046	AXL	S	15,000	13.51	n/a	25-Apr	600.00	0.0
GABELLI FUNDS	025	BAC	S	15,000	12.36	n/a	18-Apr	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	50,000	18.21	n/a	26-Apr	1,500.00	0.0
NWQ INVESTMENT MGMT CO	084	CSCO	B	50,550	20.63	n/a	26-Feb	1,769.25	0.0
NWQ INVESTMENT MGMT CO	084	CSX	B	6,550	24.30	n/a	n/a	229.25	0.0
SYMPHONY ASSET	033	CSX	B	14,672	24.31	n/a	n/a	440.16	0.0
LATEEF MGMT	033	DD	S	400	52.73	n/a	n/a	60.00	0.0
NWQ INVESTMENT MGMT CO	084	EMC	B	18,180	22.38	n/a	26-Feb	636.30	0.0
SYMPHONY ASSET	033	EMN	S	4,689	69.05	n/a	n/a	140.67	0.0
NWQ INVESTMENT MGMT CO	084	ETN	B	2,700	58.19	n/a	3-Apr	94.50	0.0
KAYNE ANDERSON ADV	084	FB	B	330,200	27.00	n/a	n/a	13,208.00	0.0
OZ MGMT	040	F	SS	150,000	13.68	n/a	25-Apr	4,500.00	0.0
TRELLUS PARTNERS LP	028	F	SS	30,000	13.60	n/a	25-Apr	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	044	F	SS	50,000	13.59	n/a	25-Apr	2,000.00	0.0
NWQ INVESTMENT MGMT CO	084	GE	S	10,900	22.15	n/a	n/a	381.50	0.0
JET CAPITAL/CHRIS	041	HES	S	43,200	71.00	n/a	n/a	1,296.00	0.0
PORTER-ORLIN	044	ITUB	B	100,000	16.39	n/a	n/a	4,000.00	0.0
PORTER-ORLIN	044	IWM	B	100,000	92.89	n/a	n/a	4,000.00	0.0
J. GOLDMAN	028	JCP	SS	250,743	17.08	n/a	22-Apr	10,029.72	0.0
J. GOLDMAN	028	JCP	S	15,000	16.36	n/a	22-Apr	600.00	0.0
MFP INVESTORS	085	JCP	S	45,000	17.25	n/a	22-Apr	1,800.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LEA	S	10,000	57.20	n/a	26-Apr	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	18.08	n/a	26-Apr	2,500.00	0.0
EPOCH INV MGMT	030	MLHR	B	18,000	24.95	n/a	n/a	540.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	34.24	n/a	17-Apr	1,250.00	0.0
CR INTRINIC INVESTMENT	044	NOC	B	30,000	74.48	n/a	11-Apr	900.00	0.0
SYMPHONY ASSET	033	PPG	B	2,425	145.17	n/a	n/a	72.75	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.14	n/a	n/a	250.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	55,000	30.94	n/a	26-Apr	2,750.00	0.0
YORK CAPITAL	036	YHOO	B	250,000	25.04	n/a	n/a	7,500.00	0.0

TOTAL (Trade Date):

66,000.76

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	04/22	PORTER-ORLIN (PORTGS)	044	CAT	B	50,000	81.84	n/a	11-Jul	2000.00	4.0
AO,CXL	04/22	PORTER-ORLIN (PORTORLIN)	044	CAT	B	50,000	81.84	n/a	11-Jul	2000.00	0.0
AO,	04/25	KEY ASSET MGMT/VICTORY (KEYA794740)	220	ESRX	S	80	57.08	n/a	n/a	3.20	0.0
AO,CXL	04/25	KEY ASSET MGMT/VICTORY (KEYA075974)	220	ESRX	S	80	57.08	n/a	n/a	3.20	0.0
AO,CXL	04/24	COUGAR TRADING (COUGPB MS)	044	JNY	B	10,000	13.72	n/a	25-Apr	300.00	3.0
AO,CRT	04/24	COUGAR TRADING (COUGPB MS)	044	JNY	B	10,000	13.72	n/a	25-Apr	500.00	5.0
AO,CXL	04/24	FIRST NEW YORK (FNYS)	086	JNY	SS	10,000	13.31	n/a	25-Apr	400.00	0.0
AO,CRT	04/24	FIRST NEW YORK (FNYS)	086	JNY	SS	10,000	13.31	n/a	25-Apr	300.00	3.0
AO,CXL	04/25	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	LEA	S	10,000	56.89	n/a	26-Apr	400.00	0.0	
AO,CXL	04/25	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	LEA	S	10,000	56.77	n/a	26-Apr	400.00	0.0	
AO,CRT	04/25	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	LEA	S	10,000	56.89	n/a	26-Apr	200.00	2.0	
AO,CRT	04/25	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	LEA	S	10,000	56.77	n/a	26-Apr	200.00	2.0	
AO,CXL	04/25	FIRST NEW YORK (FNYS)	086	SSI	S	5,000	29.52	n/a	11-Apr	200.00	0.0
AO,CRT	04/25	FIRST NEW YORK (FNYS)	086	SSI	S	5,000	29.52	n/a	11-Apr	150.00	3.0
TOTAL (AO, CXL, CRT) :										-350.00	

TOTAL (Trade Date):	66,000.76
TOTAL (AO, CXL, CRT):	-350.00

TOTAL (RUN DATE) / NFS:

65,650.76

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