



## Daily Compliance Activity Report

Trade Date: 05/14/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	ABX	S	3,100	20.39	n/a	n/a	108.50	0.0
NWQ INVESTMENT MGMT CO	084	AIG	S	4,750	45.95	n/a	n/a	166.25	0.0
NWQ INVESTMENT MGMT CO	084	AMAT	S	5,200	14.82	n/a	n/a	182.00	0.0
ADAGE CAPITAL MGMT	030	ANF	B	70,715	53.24	n/a	n/a	2,121.45	0.0
CR INTRINIC INVESTMENT	044	ANF	S	10,000	53.54	n/a	n/a	300.00	0.0
NWQ INVESTMENT MGMT CO	084	AON	S	2,300	65.80	n/a	n/a	80.50	0.0
NWQ INVESTMENT MGMT CO	084	APA	S	2,300	82.85	n/a	10-May	80.50	0.0
CYRUS CAPITAL	025	ARPI	SS	15,000	20.78	n/a	n/a	450.00	0.0
NWQ INVESTMENT MGMT CO	084	AU	S	4,944	18.07	n/a	n/a	173.04	0.0
CYRUS CAPITAL	025	AYI	B	8,000	76.79	n/a	n/a	240.00	0.0
ROSEDALE CAPITAL	046	BSX	S	20,000	8.66	n/a	n/a	600.00	0.0
WEXFORD CAPITAL	284	BUD	B	5,000	98.26	n/a	1-May	150.00	0.0
IMPALA ASSET MMT	040	CAR	B	176,159	31.23	n/a	n/a	7,046.36	0.0
TIDE POINT CAPITAL	028	CAR	B	10,500	31.09	n/a	n/a	315.00	0.0
NWQ INVESTMENT MGMT CO	084	CNQ	S	6,570	29.28	n/a	n/a	229.95	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	COF	S	1,500	59.55	n/a	10-May	52.50	0.0
NWQ INVESTMENT MGMT CO	084	CVS	S	1,900	59.77	n/a	n/a	66.50	0.0
NWQ INVESTMENT MGMT CO	084	C	S	4,320	49.99	n/a	6-May	151.20	0.0
ADAGE CAPITAL MGMT	030	DG	B	62,210	52.97	n/a	26-Mar	1,866.30	0.0
LATEEF MGMT	033	DMLP	S	500	24.81	n/a	n/a	50.00	0.0
NWQ INVESTMENT MGMT CO	084	EMC	S	2,250	23.03	n/a	26-Feb	78.75	0.0
IMPALA ASSET MMT	040	FDX	B	80,000	100.66	n/a	n/a	4,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	100,000	36.32	n/a	8-May	3,000.00	0.0
BERYLSON CAPITAL	030	GES	SS	22,300	29.22	n/a	22-Apr	669.00	0.0
HOLLIS CAPITAL	033	GILD	B	5,000	55.30	n/a	n/a	250.00	0.0
HOLLIS CAPITAL	033	GRA	B	2,000	79.22	n/a	n/a	100.00	0.0
NWQ INVESTMENT MGMT CO	084	GS	S	970	154.33	n/a	6-May	33.95	0.0
NWQ INVESTMENT MGMT CO	084	HAL	S	1,250	44.09	n/a	n/a	43.75	0.0
MERRILL ASSET/BLACKROCK	297	HCN	S	19,900	76.00	n/a	n/a	796.00	0.0
MERRILL ASSET/BLACKROCK	297	HCP	S	8,100	52.35	n/a	n/a	324.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COHE & STEERS	041	HST	B	20,000	18.41	n/a	13-Jun	600.00	0.0
NWQ INVESTMENT MGMT CO	084	IR	S	1,530	56.98	n/a	9-May	53.55	0.0
MFP INVESTORS	085	JCP	S	20,000	18.61	n/a	9-May	1,000.00	0.0
NWQ INVESTMENT MGMT CO	084	JPM	S	2,100	50.07	n/a	6-May	73.50	0.0
CR INTRINIC INVESTMENT	044	KSS	B	10,000	49.05	n/a	8-May	300.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	4,420	33.99	n/a	6-May	221.00	0.0
ADAGE CAPITAL MGMT	030	LTD	SS	100,000	50.73	n/a	n/a	3,000.00	0.0
NWQ INVESTMENT MGMT CO	084	L	S	2,218	45.81	n/a	n/a	77.63	0.0
NWQ INVESTMENT MGMT CO	084	MET	S	3,300	42.39	n/a	n/a	115.50	0.0
NWQ INVESTMENT MGMT CO	084	MOS	S	1,000	61.71	n/a	n/a	35.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	MRK	B	28,250	46.15	n/a	n/a	904.00	0.0
WAGONHOUND/NICOLAS	033	MWV	B	61,974	35.48	n/a	10-May	2,478.96	0.0
BALYASNY ASSET MGMT	044	NEM	SS	25,000	32.64	n/a	n/a	1,250.00	0.0
NWQ INVESTMENT MGMT CO	084	NRG	S	2,450	27.50	n/a	n/a	85.75	0.0
MADISON ST PARTNERS LLC	046	NTI	S	10,000	26.28	n/a	n/a	500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	NWSA	B	75,000	33.64	n/a	n/a	2,250.00	0.0
NWQ INVESTMENT MGMT CO	084	OXY	S	700	90.79	n/a	n/a	24.50	0.0
NWQ INVESTMENT MGMT CO	084	PCAR	S	1,700	52.95	n/a	n/a	59.50	0.0
PARKWEST	084	PDLI	SS	50,000	8.18	n/a	n/a	1,500.00	0.0
M&I FUNDS	047	PH	B	6,390	94.44	n/a	n/a	255.60	0.0
NWQ INVESTMENT MGMT CO	084	PM	S	550	94.77	n/a	n/a	19.25	0.0
LIONEYE CAPITAL	040	PNK	S	10,000	20.81	n/a	n/a	500.00	0.0
NWQ INVESTMENT MGMT CO	084	RTN	S	1,320	64.54	n/a	11-Mar	46.20	0.0
BRIGADE CAPITAL MGMT	029	SFL	S	24,046	17.04	n/a	n/a	0.00	0.0
J. GOLDMAN	028	SFL	B	15,000	17.13	n/a	n/a	600.00	0.0
NWQ INVESTMENT MGMT CO	084	SNY	S	2,900	54.89	n/a	n/a	101.50	0.0
NWQ INVESTMENT MGMT CO	084	TEVA	S	2,800	39.88	n/a	13-May	98.00	0.0
OZ MGMT	040	TGT	SS	75,000	69.48	n/a	14-May	2,250.00	0.0
NWQ INVESTMENT MGMT CO	084	TWX	S	2,600	61.31	n/a	n/a	91.00	0.0
NWQ INVESTMENT MGMT CO	084	UNM	S	7,300	28.61	n/a	n/a	255.50	0.0
NWQ INVESTMENT MGMT CO	084	UNP	S	600	156.39	n/a	n/a	21.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	VIAB	S	2,750	68.82	n/a	n/a	96.25	0.0
NWQ INVESTMENT MGMT CO	084	VOD	S	1,950	29.75	n/a	n/a	68.25	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	31,800	14.88	n/a	n/a	1,272.00	0.0
NWQ INVESTMENT MGMT CO	084	WFC	S	3,400	38.60	n/a	6-May	119.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>44,047.94</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/10	INTERVAL PARTNERS (INTVJPM PB)	033	JCI	B	1,890	36.41	n/a	6-May	56.70 3.0
AO,CXL	05/10	INTERVAL PARTNERS (INTVJPM BDS)	033	JCI	B	1,890	36.41	n/a	6-May	56.70 0.0
AO,CXL	05/10	COBALT (COBAJPM)	041	LEN	B	98,000	42.59	n/a	n/a	3880.00 0.0
AO,	05/10	COBALT (COBAJPM)	041	LEN	B	98,000	42.59	n/a	n/a	3920.00 0.0
AO,CXL	05/10	COBALT (COBAUBS)	041	LEN	B	2,000	42.59	n/a	n/a	120.00 0.0
AO,	05/10	COBALT (COBAUBS)	041	LEN	B	2,000	42.59	n/a	n/a	80.00 0.0
AO,CRT	05/10	INTERVAL PARTNERS (INTVJPM PB)	033	PETM	B	1,900	70.11	n/a	n/a	57.00 3.0
AO,CXL	05/10	INTERVAL PARTNERS (INTVJPM BDS)	033	PETM	B	1,900	70.11	n/a	n/a	57.00 0.0
AO,CXL	05/13	TUDOR INVESTORS (TUDRJPM PB)	028	PNR	SS	5,000	56.17	n/a	n/a	200.00 0.0
AO,	05/13	TUDOR INVESTORS (TUDRJPM PB)	028	PNR	SS	5,000	56.17	n/a	n/a	150.00 0.0
AO,CXL	05/09	PIMCO (PIMCSS)	084	UAL	S	100,000	32.77	n/a	10-May	4000.00 4.0
AO,CRT	05/09	PIMCO (PIMCSS)	084	UAL	S	100,000	32.77	n/a	10-May	2000.00 2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,050.00</b>
TOTAL (Trade Date):										44,047.94
TOTAL (AO, CXL, CRT):										-2,050.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>41,997.94</b>



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