

Daily Compliance Activity Report Trade Date: 06/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

							HULLIGI	TICIDE (IO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
LAGRANGE CAP ADV	087	ABX	В	10,000	19.74	n/a	n/a	500.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	В	2,000	89.56	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	SS	1,500	88.91	n/a	n/a	60.00	0.0
BROADARCH CAP/OLD NEWC	006	AVGO	В	2,000	37.43	n/a	n/a	80.00	0.0
FARALLON CAP MGMT	040	AXP	S	50,000	72.98	n/a	14-Jun	2,000.00	0.0
SUFFOLK CAPITAL MGMT	040	BOBE	В	9,000	47.61	n/a	n/a	360.00	0.0
COOPER CREEK PART	028	BONT	S	487	21.28	n/a	24-May	0.00	0.0
TIEDEMANN/TIG ADVISORS LL	C006	BRP	S	11,000	22.68	n/a	n/a	330.00	0.0
MERRILL ASSET/BLACKROCK	085	COF	S	5,344	61.94	n/a	14-Jun	213.76	0.0
LATEEF MGMT	033	CTB	S	550	33.55	n/a	n/a	55.00	0.0
BROADARCH CAP/OLD NEWC	006	CTRX	В	1,000	54.03	n/a	n/a	40.00	0.0
FORTRESS INVESTMENT (US)	036	CX	SS	190,000	10.47	n/a	n/a	3,800.00	0.0
BROADARCH CAP/OLD NEWC	006	CYT	В	500	75.00	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	DD	В	1,500	53.65	n/a	n/a	60.00	0.0
SENATOR INVESTMENT GROUP	036	DD	В	125,000	52.70	n/a	n/a	3,750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
TIDE POINT CAPITAL	028	DLPH	В	20,000	51.04	n/a	n/a	600.00	0.0
BROADARCH CAP/OLD NEWC	006	DOW	В	5,000	34.44	n/a	n/a	200.00	0.0
BROADARCH CAP/OLD NEWC	006	EBAY	S	1,000	51.24	n/a	n/a	40.00	0.0
SCOGGIN LLC	041	ELN	В	12,232	13.66	n/a	n/a	611.60	0.0
BROADARCH CAP/OLD NEWC	006	EMN	В	1,500	71.34	n/a	n/a	60.00	0.0
COHE & STEERS	041	EQR	S	16,986	56.42	n/a	n/a	679.44	0.0
SUFFOLK CAPITAL MGMT	040	EXXI	В	11,100	24.84	n/a	n/a	444.00	0.0
SUFFOLK CAPITAL MGMT	040	FB	В	37,400	23.36	n/a	n/a	1,496.00	0.0
TIEDEMANN/TIG ADVISORS LL	C006	F	SS	40,200	15.36	n/a	13-Jun	1,206.00	0.0
NORTHWESTERN MUTUAL LIFE	047	GHL	В	16,421	47.33	n/a	n/a	656.84	0.0
PROSPECTOR PARTNERS LLC	036	GLW	В	10,000	14.98	n/a	n/a	400.00	0.0
TIDE POINT CAPITAL	028	GM	S	35,000	34.19	n/a	13-Jun	1,050.00	0.0
BROADARCH CAP/OLD NEWC	006	GOOG	В	200	883.80	n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	GPS	В	1,730	41.56	n/a	n/a	69.20	0.0
BROADARCH CAP/OLD NEWC	006	GRPN	S	5,000	7.75	n/a	n/a	200.00	0.0
	TIDE POINT CAPITAL BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC SCOGGIN LLC BROADARCH CAP/OLD NEWC COHE & STEERS SUFFOLK CAPITAL MGMT SUFFOLK CAPITAL MGMT TIEDEMANN/TIG ADVISORS LL NORTHWESTERN MUTUAL LIFE PROSPECTOR PARTNERS LLC TIDE POINT CAPITAL BROADARCH CAP/OLD NEWC BROADARCH CAP/OLD NEWC	TIDE POINT CAPITAL 028 BROADARCH CAP/OLD NEWC 006 BROADARCH CAP/OLD NEWC 006 SCOGGIN LLC 041 BROADARCH CAP/OLD NEWC 006 COHE & STEERS 041 SUFFOLK CAPITAL MGMT 040 SUFFOLK CAPITAL MGMT 040 TIEDEMANN/TIG ADVISORS LLC006 NORTHWESTERN MUTUAL LIFE 047 PROSPECTOR PARTNERS LLC 036 TIDE POINT CAPITAL 028 BROADARCH CAP/OLD NEWC 006 BROADARCH CAP/OLD NEWC 006	BROADARCH CAP/OLD NEWC 006 DOW BROADARCH CAP/OLD NEWC 006 EBAY SCOGGIN LLC 041 ELN BROADARCH CAP/OLD NEWC 006 EMN COHE & STEERS 041 EQR SUFFOLK CAPITAL MGMT 040 EXXI SUFFOLK CAPITAL MGMT 040 FB TIEDEMANN/TIG ADVISORS LLC006 F NORTHWESTERN MUTUAL LIFE 047 GHL PROSPECTOR PARTNERS LLC 036 GLW TIDE POINT CAPITAL 028 GM BROADARCH CAP/OLD NEWC 006 GOOG BROADARCH CAP/OLD NEWC 006 GPS	TIDE POINT CAPITAL BROADARCH CAP/OLD NEWC O06 EMN B COHE & STEERS O41 EQR S SUFFOLK CAPITAL MGMT O40 EXXI B TIEDEMANN/TIG ADVISORS LLCOO6 F SS NORTHWESTERN MUTUAL LIFE O47 GHL B PROSPECTOR PARTNERS LLC O36 GLW B TIDE POINT CAPITAL O28 GM S BROADARCH CAP/OLD NEWC O06 GOOG B BROADARCH CAP/OLD NEWC O06 GOOG B BROADARCH CAP/OLD NEWC O06 GPS B	TIDE POINT CAPITAL 028 DLPH B 20,000 BROADARCH CAP/OLD NEWC 006 DOW B 5,000 BROADARCH CAP/OLD NEWC 006 EBAY S 1,000 SCOGGIN LLC 041 ELN B 12,232 BROADARCH CAP/OLD NEWC 006 EMN B 1,500 COHE & STEERS 041 EQR S 16,986 SUFFOLK CAPITAL MGMT 040 EXXI B 11,100 SUFFOLK CAPITAL MGMT 040 FB B 37,400 TIEDEMANN/TIG ADVISORS LLC006 F SS 40,200 NORTHWESTERN MUTUAL LIFE 047 GHL B 16,421 PROSPECTOR PARTNERS LLC 036 GLW B 10,000 TIDE POINT CAPITAL 028 GM S 35,000 BROADARCH CAP/OLD NEWC 006 GOOG B 200 BROADARCH CAP/OLD NEWC 006 GPS B 1,730	TIDE POINT CAPITAL 028 DLPH B 20,000 51.04 BROADARCH CAP/OLD NEWC 006 DOW B 5,000 34.44 BROADARCH CAP/OLD NEWC 006 EBAY S 1,000 51.24 SCOGGIN LLC 041 ELN B 12,232 13.66 BROADARCH CAP/OLD NEWC 006 EMN B 1,500 71.34 COHE & STEERS 041 EQR S 16,986 56.42 SUFFOLK CAPITAL MGMT 040 EXXI B 11,100 24.84 SUFFOLK CAPITAL MGMT 040 FB B 37,400 23.36 TIEDEMANN/TIG ADVISORS LLC006 F SS 40,200 15.36 NORTHWESTERN MUTUAL LIFE 047 GHL B 16,421 47.33 PROSPECTOR PARTNERS LLC 036 GLW B 10,000 14.98 TIDE POINT CAPITAL 028 GM S 35,000 34.19 BROADARCH CAP/OLD NEWC 006 GOOG B 200 883.80 BROADARCH CAP/OLD NEWC 006 GPS B 1,730 41.56	TIDE POINT CAPITAL 028 DLPH B 20,000 51.04 n/a BROADARCH CAP/OLD NEWC 006 DOW B 5,000 34.44 n/a BROADARCH CAP/OLD NEWC 006 EBAY S 1,000 51.24 n/a SCOGGIN LLC 041 ELN B 12,232 13.66 n/a BROADARCH CAP/OLD NEWC 006 EMN B 1,500 71.34 n/a COHE & STEERS 041 EQR S 16,986 56.42 n/a SUFFOLK CAPITAL MGMT 040 EXXI B 11,100 24.84 n/a SUFFOLK CAPITAL MGMT 040 FB B 37,400 23.36 n/a TIEDEMANN/TIG ADVISORS LLC006 F SS 40,200 15.36 n/a NORTHWESTERN MUTUAL LIFE 047 GHL B 16,421 47.33 n/a PROSPECTOR PARTNERS LLC 036 GLW B 10,000 14.98 n/a TIDE POINT CAPITAL 028 GM S 35,000 34.19 n/a BROADARCH CAP/OLD NEWC 006 GOOG B 200 883.80 n/a BROADARCH CAP/OLD NEWC 006 GPS B 1,730 41.56 n/a	TIDE POINT CAPITAL 028 DLPH B 20,000 51.04 n/a n/a BROADARCH CAP/OLD NEWC 006 DOW B 5,000 34.44 n/a n/a n/a SCOGGIN LLC 041 ELN B 12,232 13.66 n/a n/a n/a BROADARCH CAP/OLD NEWC 006 EMN B 1,500 71.34 n/a n/a n/a COHE & STEERS 041 EQR S 16,996 56.42 n/a n/a n/a SUFFOLK CAPITAL MGMT 040 EXXI B 11,100 24.84 n/a n/a n/a SUFFOLK CAPITAL MGMT 040 FB B 37,400 23.36 n/a n/a n/a TIEDEMANN/TIG ADVISORS LLCO06 F SS 40,200 15.36 n/a 13-Jun NORTHWESTERN MUTUAL LIFE 047 GHL B 16,421 47.33 n/a n/a TIDE POINT CAPITAL 028 GM S 35,000 34.19 n/a 13-Jun BROADARCH CAP/OLD NEWC 006 GOOG B 200 883.80 n/a n/a n/a BROADARCH CAP/OLD NEWC 006 GFS B 1,730 41.56 n/a n/a n/a	TIDE POINT CAPITAL 028 DLPH B 20,000 51.04

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
LAKEWOOD CAPITAL MGMT	085	HES	S	10,000	66.76	n/a	n/a	300.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	17.87	n/a	12-Jun	1,500.00	0.0
SCOPUS FUND	041	KSS	В	75,000	52.10	n/a	22-May	3,000.00	0.0
HERRING CREEK CAPITAL MGM	IT LLC040	LGF	С	13,0	27.67	n	/a n/a	390.0	0.0
COOPER CREEK PART	028	LPX	SS	10,000	16.92	n/a	14-Jun	0.00	0.0
BROADARCH CAP/OLD NEWC	006	LULU	В	1,500	66.07	n/a	13-Jun	60.00	0.0
RIVERLOFT CAPITAL	044	LYB	S	12,500	67.49	n/a	n/a	375.00	0.0
BROADARCH CAP/OLD NEWC	006	MAS	В	1,500	20.97	n/a	n/a	60.00	0.0
BROADARCH CAP/OLD NEWC	006	MCK	В	1,000	114.65	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	006	MON	SS	500	105.24	n/a	n/a	20.00	0.0
CAPITAL RESEARCH GROUP		296 M:	SFT	В 12	24,200 34.40		n/a n	n/a 4,34	7.00 0.0
CAPITAL WORLD	084	MSFT	В	375 , 800	34.40	n/a	n/a	13,153.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NXTM	В	25,000	13.93	n/a	n/a	1,000.00	0.0
SANDLER O'NEILL ASSET	031	PBCT	SS	12,832	13.81	n/a	18-Apr	641.60	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	В	35,000	42.66	n/a	14-Jun	1,750.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	47.71	n/a	14-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	006	RKT	В	500	104.90	n/a	14-Jun	20.00 0.0	
SENATOR INVESTMENT GROUP	036	TLM	В	215,000	11.55	n/a	n/a	6,450.00 0.0	
BROADARCH CAP/OLD NEWC	006	TWX	В	1,000	57.86	n/a	n/a	40.00 0.0	
BROADARCH CAP/OLD NEWC	006	VZ	В	1,000	51.23	n/a	n/a	40.00 0.0	
HERRING CREEK CAPITAL MGM	T LLC040	WGO	В	10,5	21.14	n	/a n/a	315.00 0	.0
SUFFOLK CAPITAL MGMT	040	WG	В	30,000	6.82	n/a	n/a	900.00 0.0	
COOPER CREEK PART	028	WY	S	10,000	28.39	n/a	14-Jun	0.00 0.0	
LAKEWOOD CAPITAL MGMT	085	XL	S	15,000	31.25	n/a	n/a	450.00 0.0	
BROADARCH CAP/OLD NEWC	006	ZTS	В	1,000	31.15	n/a	n/a	40.00 0.0	

TOTAL (Trade Date): 55,461.44

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	06/13	JET CAPITAL/CHRIS (JETCWALL)	041	COV	В	5,210	63.96	n/a	n/a	156.30	0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCREDWOO)	041	COV	В	7,450	63.96	n/a	n/a	223.50	0.0
AO,CXL	06/13	JET CAPITAL/CHRIS (JETCMSBULK)	041	COV	В	100,000	63.96	n/a	n/a	4000.00	0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCMSBULK)	041	COV	В	80,570	63.96	n/a	n/a	2417.10	0.0
AO,	06/13	JET CAPITAL/CHRIS (JETCGOLD)	041	COV	В	6 , 770	63.96	n/a	n/a	203.10	0.0
AO,CXL	06/13	BARROW HANLEY MEWHINNEY (BARR9707)	031	M	В	5,000	48.15	n/a	12-Jun	150.00	0.0
AO,	06/13	ROVER CAPITAL PARTNERS (ROVEGS)	040	М	В	5,000	48.15	n/a	12-Jun	200.00	0.0
AO,	06/13	KING STREET CAPITAL (KINGJPM)	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00	0.0
AO,CXL	06/13	KING STREET CAPITAL (KINGGS)	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00	0.0
TOTAL	(AO,	CXL, CRT):								_	-950.00

TOTAL (RUN DATE) / NFS:	54,511.44
TOTAL (AO, CXL, CRT):	-950.00
TOTAL (Trade Date):	55,461.44

Legend:

O: 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