



Daily Compliance Activity Report

Trade Date: 05/23/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACC	S	1,700	42.68	n/a	n/a	68.00	0.0
SENATOR INVESTMENT GROUP	036	ACT	S	25,000	128.61	n/a	21-May	750.00	0.0
HOLLIS CAPITAL	033	AGN	S	5,000	97.75	n/a	21-May	250.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	APOL	B	26,500	20.81	n/a	n/a	795.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	BONT	S	38,996	19.55	n/a	23-May	1,169.88	0.0
SCOPUS FUND	041	CBT	S	4,728	39.30	n/a	n/a	189.12	0.0
LOMAS CAPITAL	040	CNW	S	38,400	38.23	n/a	n/a	1,152.00	0.0
STRONG/MARK GRONET	030	CRAY	B	10,000	17.65	n/a	n/a	400.00	0.0
APEX CAPITAL MGMT.	033	CX	C	145,800	11.37	n/a	n/a	5,832.00	0.0
HIGHBRIDGE CAP	041	CX	SS	15,696	11.38	n/a	n/a	470.88	0.0
HIGHBRIDGE CAP	041	CX	S	19,531	11.38	n/a	n/a	585.93	0.0
SANDLER O'NEILL ASSET	031	DFS	B	10,000	47.97	n/a	23-May	500.00	0.0
HIGHFIELDS CAP MGMT	030	DLTR	S	100,000	49.79	n/a	23-May	4,000.00	0.0
MERRILL ASSET/BLACKROCK	085	ESS	S	1,100	165.30	n/a	n/a	44.00	0.0
COLUMBUS CIRCLE	036	EVTC	B	4,459	20.01	n/a	n/a	178.36	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	FB	S	25,000	25.26	n/a	n/a	750.00	0.0
FARBER	085	FL	SS	23,000	35.64	n/a	22-May	920.00	0.0
ROARING BLUE LION MGMT	031	FL	S	35,700	35.61	n/a	22-May	1,428.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			GME	B	40,370	35.98	n/a	n/a	1,211.10 0.0
BRONSON POINT	036	GM	B	50,000	32.30	n/a	23-May	1,500.00	0.0
HALCYON LLC	041	GM	S	50,000	32.45	n/a	23-May	1,500.00	0.0
OZ MGMT	040	GM	SS	59,560	32.44	n/a	23-May	1,786.80	0.0
ROSEDALE CAPITAL	046	GM	S	10,000	32.73	n/a	23-May	500.00	0.0
LOMAS CAPITAL	040	HSC	S	25,000	23.11	n/a	9-May	750.00	0.0
DAVIDSON KEMPNER ADVISOR	040	INTC	C	25,000	23.98	n/a	n/a	1,250.00	0.0
T. ROWE PRICE	243	IP	S	251,000	47.16	n/a	15-May	7,530.00	0.0
HIGHBRIDGE CAP	041	ITB	B	62,000	25.45	n/a	n/a	1,240.00	2.0
KLEINHEINZ CAP PART	031	IWM	SS	225,000	96.90	n/a	n/a	11,250.00	0.0
CORNERSTONE	030	JCI	S	305,057	37.06	n/a	6-May	9,151.71	0.0
SCOPUS FUND	041	JCI	B	15,000	37.10	n/a	6-May	600.00	0.0
WEXFORD CAPITAL	284	JCP	B	47,500	19.05	n/a	22-May	1,425.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	21,200	93.84	n/a	n/a	848.00	0.0
ASCEND PARTNERS	033	KSS	C	200,000	52.07	n/a	22-May	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	LCC	B	25,000	17.99	n/a	20-May	750.00	0.0
PAR CAPITAL	268	LCC	SS	24,000	18.35	n/a	20-May	960.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LPS	B	53,000	32.68	n/a	n/a	1,590.00	0.0
HIGHBRIDGE CAP	041	LPX	S	42,508	18.79	n/a	22-May	1,275.24	0.0
RBC CAPITAL MARKETS	040	LUFK	B	1,400	88.19	n/a	n/a	42.00	0.0
MERRILL ASSET/BLACKROCK	085	MAA	S	1,300	72.00	n/a	n/a	52.00	0.0
SANDLER O'NEILL ASSET	031	MS	B	40,000	24.04	n/a	6-May	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		MWV	B	12,400	34.55	n/a	16-May	248.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	35,000	35.09	n/a	16-May	1,750.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.60	n/a	n/a	1,000.00	0.0
ARDSLEY PARTNERS	044	PCG	SS	5,000	46.21	n/a	n/a	250.00	0.0
T. ROWE PRICE	243	PXD	B	16,346	143.91	n/a	23-May	653.84	0.0
LEVIN CAPITAL STRATEGIES	041	RHP	B	11,000	41.01	n/a	n/a	330.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040		ROIAC	B	20,642	2.32	n/a	n/a	619.26	0.0
CASTLE ARK	031	RRC	B	64,470	77.91	n/a	23-May	2,578.80	0.0
GALT INVESTMENT	041	SCSS	S	6,138	20.90	n/a	n/a	306.90	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	URI	S	17,000	55.99	n/a	17-Apr	510.00	0.0
LONG OAR GLOBAL INV	040	VLO	SS	48,000	39.46	n/a	n/a	1,920.00	0.0
MERRILL ASSET/BLACKROCK	085	WAL	S	43,000	14.33	n/a	n/a	1,720.00	0.0
SENATOR INVESTMENT GROUP	036	WCRX	B	100,000	19.99	n/a	21-May	3,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	76.66	n/a	16-May	1,500.00	0.0
HIGHBRIDGE CAP	041	XLU	B	13,000	38.75	n/a	n/a	260.00	2.0
TOTAL (Trade Date):								89,341.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/22	WINSLOW CAPITAL (WINS118)	030	CRM	S	600	45.81	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS118)	030	CRM	S	600	45.81	n/a	n/a	18.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS191)	030	CRM	S	1,000	45.81	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS191)	030	CRM	S	1,000	45.81	n/a	n/a	30.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS167)	030	CRM	S	3,300	45.81	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS167)	030	CRM	S	3,300	45.81	n/a	n/a	99.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS172)	030	CRM	S	700	45.81	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS172)	030	CRM	S	700	45.81	n/a	n/a	21.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS113)	030	CRM	S	200	45.81	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS113)	030	CRM	S	200	45.81	n/a	n/a	6.00 3.0
CRT	05/23	HIGHBRIDGE CAP (HIBCCSFB)	041	ITB	B	62,000	25.45	n/a	n/a	1240.00 2.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS113)	030	QCOM	S	50	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS113)	030	QCOM	S	50	65.19	n/a	n/a	1.50 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS118)	030	QCOM	S	200	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS118)	030	QCOM	S	200	65.19	n/a	n/a	6.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS191)	030	QCOM	S	300	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS191)	030	QCOM	S	300	65.19	n/a	n/a	9.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS167)	030	QCOM	S	1,200	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS167)	030	QCOM	S	1,200	65.19	n/a	n/a	36.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL (WINS172)	030	QCOM	S	200	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL (WINS172)	030	QCOM	S	200	65.19	n/a	n/a	6.00 3.0
CRT	05/23	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	B	13,000	38.75	n/a	n/a	260.00 2.0
TOTAL (AO, CXL, CRT) :										1,732.50

TOTAL (Trade Date):	89,341.82
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TOTAL (RUN DATE) / NFS:	91,074.32
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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