



## Daily Compliance Activity Report

Trade Date: 03/25/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ADP	S	10,000	64.10	n/a	n/a	400.00	4.0
S.A.C. CAPITAL	044	AEO	S	40,000	18.58	n/a	2-Dec	1,200.00	3.0
LATEEF MGMT	033	ALL	S	250	48.54	n/a	n/a	45.00	18.0
SENATOR INVESTMENT GROUP	036	AMTD	SS	300,000	20.61	n/a	n/a	9,000.00	0.0
LISTED ERR	099	AMTD	B	7,900	20.45	n/a	n/a	0.00	0.0
LISTED ERR	099	AMTD	S	7,900	20.45	n/a	n/a	0.00	0.0
RAINIER INV MGMT	033	ANGI	B	21,700	18.93	n/a	n/a	868.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	B	20,000	14.13		n/a	n/a	600.00 3.0
IVORY CAPITAL	084	BBBY	S	40,000	64.02	n/a	n/a	2,000.00	0.0
SYMPHONY ASSET	033	BHI	C	2,985	45.14	n/a	n/a	89.55	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CBS	B	10,000	45.57		n/a	n/a	400.00 4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLI	B	5,000	28.66		n/a	n/a	150.00 3.0
ROYCE TRADING	031	CROX	B	100,000	15.06	n/a	n/a	5,000.00	0.0
LATEEF MGMT	033	CVS	S	400	55.43	n/a	n/a	52.00	13.0
STANDARD PACIFIC CAPITAL	084	DAN	S	105,000	17.62	n/a	19-Mar	5,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
SANDLER O'NEILL ASSET	031	DFS	S	19,600	45.05	n/a	21-Mar	980.00	5.0	
FARALLON CAP MGMT	040	DG	S	85,000	51.70	n/a	25-Mar	3,400.00	4.0	
WAGONHOUND/NICOLAS	033	DPZ	B	14,314	50.81	n/a	1-Mar	572.56	0.0	
CONIFER/GROW	084	EAT	B	43,000	36.70	n/a	25-Mar	1,720.00	4.0	
HARVEST MGMT (JMP)	029	EBAY	B	5,000	52.74	n/a	n/a	200.00	4.0	
SCOPUS FUND	041	GIL	S	2,600	39.03	n/a	14-Mar	104.00	0.0	
STANDARD PACIFIC CAPITAL	084	GM	S	130,000	28.20	n/a	25-Mar	6,500.00	0.0	
BRONSON POINT	036	HFC	SS	25,000	52.38	n/a	n/a	750.00	0.0	
SYMPHONY ASSET	033	HFC	C	2,700	51.75	n/a	n/a	81.00	0.0	
IVORY CAPITAL	084	HTZ	B	86,500	21.04	n/a	n/a	4,325.00	0.0	
CSFB GLOBAL PROPRIETARY	041	IP	B	8,000	45.01	n/a	18-Mar	400.00	5.0	
ADAGE CAPITAL MGMT	030	JWN	B	70,000	53.69	n/a	6-Mar	2,100.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	LBTYA	B	5,000	69.42		n/a	n/a	200.00	4.0
SENATOR INVESTMENT GROUP	036	LEA	S	104,007	54.39	n/a	22-Mar	3,120.21	3.0	
STANDARD PACIFIC CAPITAL	084	LEA	S	40,000	54.46	n/a	22-Mar	2,000.00	0.0	
HEIGHTS CAPITAL	251	LSTR	B	21,002	56.41	n/a	n/a	840.08	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT (JMP)	029	LULU	SS	5,000	62.96	n/a	22-Mar	200.00	4.0
J. GOLDMAN	028	LYB	B	28,000	63.39	n/a	n/a	1,120.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MAR	B	5,000	39.87		n/a 13-Jun	150.00	3.0
EPOCH INV MGMT	030	MLHR	B	31,000	27.40	n/a	n/a	930.00	0.0
LATEEF MGMT	033	MRK	B	400	43.75	n/a	n/a	52.00	13.0
FORTRESS INVESTMENT (US)	036	MSFT	B	70,000	28.15	n/a	n/a	2,800.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	30,000	35.99	n/a	12-Mar	1,500.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.59	n/a	22-Feb	400.00	4.0
YORK CAPITAL	036	NWSA	B	250,000	30.14	n/a	n/a	7,500.00	3.0
LATEEF MGMT	033	OI	S	500	26.52	n/a	n/a	50.00	10.0
LAKEWOOD CAPITAL MGMT	085	ORCL	B	10,000	31.34	n/a	n/a	300.00	0.0
ADAGE CAPITAL MGMT	030	ROST	B	69,755	59.32	n/a	22-Mar	2,092.65	0.0
S.A.C. CAPITAL	044	ROST	S	40,000	59.25	n/a	22-Mar	1,200.00	0.0
WAGONHOUND/NICOLAS	033	SAVE	S	50,000	25.94	n/a	n/a	2,000.00	0.0
LATEEF MGMT	033	SFG	S	250	41.94	n/a	n/a	45.00	18.0
LAKEWOOD CAPITAL MGMT	085	SIR	B	5,000	25.87	n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	SPR	B	10,000	18.21	n/a	19-Mar	300.00	0.0
SYMPHONY ASSET	033	SPY	C	10,380	155.71	n/a	n/a	311.40	0.0
MACELLUM CAPITAL	086	TPX	S	85,000	46.24	n/a	n/a	2,550.00	3.0
PROSPECTOR PARTNERS LLC	036	TR	S	5,000	29.58	n/a	n/a	200.00	4.0
LATEEF MGMT	033	UAL	S	500	31.69	n/a	12-Mar	50.00	10.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		VOD	B	20,000	28.48		n/a	n/a	600.00 3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		VZ	SS	9,800	49.32		n/a	n/a	392.00 4.0
HEIGHTS CAPITAL	251	WERN	SS	47,259	24.18	n/a	n/a	1,890.36	0.0
LATEEF MGMT	033	WRI	S	500	31.42	n/a	n/a	50.00	10.0
SYMPHONY ASSET	033	XME	C	4,090	40.34	n/a	n/a	122.70	0.0
<b>TOTAL (Trade Date) :</b>								<b>79,303.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
CRT	03/25	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	CBS	B	10,000	45.57	n/a	n/a	400.00	4.0
TOTAL (AO, CXL, CRT) :										400.00	

TOTAL (Trade Date):	79,303.51
TOTAL (AO, CXL, CRT):	400.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>79,703.51</b>
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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