

## **Daily Compliance Activity Report** Trade Date: 03/19/2013

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
ROSEDALE CAPITAL	046	AXL	В	20,000	13.03	n/a	19-Mar	800.00	4.0	
WEXFORD CAPITAL	284	AXL	В	75,000	13.21	n/a	19-Mar	2,250.00	3.0	
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BALYASNY ASSET MGMT	044	BIG	В	50,000	35.19	n/a	n/a	2,500.00	0.0	
WEISS PECK/ROBECO/BOSTON	PT	040	CBR	S	127,850	4.80	n/a	n/a	5,114.00	0.0
TDTDTAN ACCOUNT MOME	026	COL	G	44 020	40 50	- / -	- / -	2 241 50	0.0	
IRIDIAN ASSET MGMT.	036	CCK	S	44,830	40.59	n/a	n/a	2,241.50	0.0	
COLUMBUS CIRCLE	036	CLGX	S	8,948	25.73	n/a	n/a	357.92	0.0	
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BTG PACTUAL	040	СОН	В	10,000	48.43	n/a	27-Feb	300.00	3.0	
ROYCE TRADING	031	CROX	В	65,000	15.53	n/a	n/a	3,250.00	0.0	
DDONGON DOTNE	026			25 000	45 75	- / -	15 M.	750.00	0 0	
BRONSON POINT	036	С	С	25 <b>,</b> 000	45.75	n/a	15-Mar	750.00	0.0	
SCOPUS FUND	041	DECK	В	50,000	48.86	n/a	n/a	2,000.00	0.0	
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BALYASNY ASSET MGMT	044	DKS	SS	20,000	47.48	n/a	19-Mar	1,000.00	0.0	
WELLSPRING CAPITAL	093	EZCH	S	20,000	25.22	n/a	n/a	800.00	4.0	
CCODIC FUND	0.41	E	CC	200 000	10 15	/ -	10 M	0 000 00	0.0	
SCOPUS FUND	041	F	SS	200,000	13.15	n/a	19-Mar	8,000.00		
WOOSTER CAPITAL	044	F	SS	100,000	13.19	n/a	19-Mar	4,000.00	4.0	
EGS ASSOCIATES LP	091	GES	SS	3,000	27.12	n/a	12-Mar	150.00	5.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
SCOPUS FUND	041	GPI	S	35,000	60.53	n/a	19-Mar	1,400.00	0.0	
CR INTRINIC INVESTMENT	044	GPS	SS	20,000	35.79	n/a	n/a	600.00	3.0	
GLENHILL CAPITAL	036	HNR	В	50,000	3.66	n/a	n/a	2,500.00	0.0	
CR INTRINIC INVESTMENT	044	HPQ	В	10,000	22.92	n/a	n/a	300.00	3.0	
CSFB GLOBAL PROPRIETARY	041	IP	В	15,000	44.91	n/a	18-Mar	750.00	5.0	
BESSEMER INVESTMENT	085	ITW	В	197,200	62.25	n/a	n/a	7,888.00	0.0	
SCOPUS FUND	041	JWN	SS	20,000	52.43	n/a	6-Mar	800.00	0.0	
J. GOLDMAN	028	KSS	В	22,330	46.92	n/a	6-Mar	893.20	4.0	
SANDLER O'NEILL ASSET	031	LAZ	В	15,000	35.49	n/a	7-Mar	750.00	5.0	
PEREGRINE	030	LCC	В	75 <b>,</b> 000	16.70	n/a	5-Mar	3,000.00	0.0	
LOMAS CAPITAL	040	LVS	В	30,000	53.36	n/a	13-Jun	900.00	3.0	
VERITION	028	MGA	SS	2,500	56.32	n/a	n/a	75.00	3.0	
ROXBURY CAPITAL MGMT	033	MLI	S	29 <b>,</b> 974	53.14	n/a	1-Mar	1,198.96	0.0	
CSFB GLOBAL PROPRIETARY	041	MWV	S	10,000	37.88	n/a	12-Mar	500.00	5.0	
SCOPUS FUND	041	М	SS	13,800	41.01	n/a	7-Mar	552.00	0.0	
	SCOPUS FUND  CR INTRINIC INVESTMENT  GLENHILL CAPITAL  CR INTRINIC INVESTMENT  CSFB GLOBAL PROPRIETARY  BESSEMER INVESTMENT  SCOPUS FUND  J. GOLDMAN  SANDLER O'NEILL ASSET  PEREGRINE  LOMAS CAPITAL  VERITION  ROXBURY CAPITAL MGMT  CSFB GLOBAL PROPRIETARY	SCOPUS FUND 041  CR INTRINIC INVESTMENT 044  GLENHILL CAPITAL 036  CR INTRINIC INVESTMENT 044  CSFB GLOBAL PROPRIETARY 041  BESSEMER INVESTMENT 085  SCOPUS FUND 041  J. GOLDMAN 028  SANDLER O'NEILL ASSET 031  PEREGRINE 030  LOMAS CAPITAL 040  VERITION 028  ROXBURY CAPITAL MGMT 033  CSFB GLOBAL PROPRIETARY 041	SCOPUS FUND  CR INTRINIC INVESTMENT  GLENHILL CAPITAL  CR INTRINIC INVESTMENT  CR INTRINIC INVESTMENT  CR INTRINIC INVESTMENT  CSFB GLOBAL PROPRIETARY  O41  BESSEMER INVESTMENT  O41  JWN  SCOPUS FUND  O41  JWN  J. GOLDMAN  O28  KSS  SANDLER O'NEILL ASSET  O31  LAZ  PEREGRINE  LOMAS CAPITAL  O40  LVS  VERITION  O28  MGA  ROXBURY CAPITAL MGMT  O33  MLI  CSFB GLOBAL PROPRIETARY  O41  MWV	SCOPUS FUND  O41 GPI S CR INTRINIC INVESTMENT O44 GPS SS GLENHILL CAPITAL O36 HNR B CR INTRINIC INVESTMENT O44 HPQ B CSFB GLOBAL PROPRIETARY O41 IP B BESSEMER INVESTMENT O85 ITW B SCOPUS FUND O41 JWN SS J. GOLDMAN O28 KSS B SANDLER O'NEILL ASSET O31 LAZ B PEREGRINE O40 LVS B LOMAS CAPITAL O40 LVS B VERITION O28 MGA SS ROXBURY CAPITAL MGMT O33 MLI S CSFB GLOBAL PROPRIETARY O41 MWV S	SCOPUS FUND       041       GPI       S       35,000         CR INTRINIC INVESTMENT       044       GPS       SS       20,000         GLENHILL CAPITAL       036       HNR       B       50,000         CR INTRINIC INVESTMENT       044       HPQ       B       10,000         CSFB GLOBAL PROPRIETARY       041       IP       B       15,000         BESSEMER INVESTMENT       085       ITW       B       197,200         SCOPUS FUND       041       JWN       SS       20,000         J. GOLDMAN       028       KSS       B       22,330         SANDLER O'NEILL ASSET       031       LAZ       B       15,000         PEREGRINE       030       LCC       B       75,000         LOMAS CAPITAL       040       LVS       B       30,000         VERITION       028       MGA       SS       2,500         ROXBURY CAPITAL MGMT       033       MLI       S       29,974         CSFB GLOBAL PROPRIETARY       041       MWV       S       10,000	SCOPUS FUND 041 GPI S 35,000 60.53  CR INTRINIC INVESTMENT 044 GPS SS 20,000 35.79  GLENHILL CAPITAL 036 HNR B 50,000 3.66  CR INTRINIC INVESTMENT 044 HPQ B 10,000 22.92  CSFB GLOBAL PROPRIETARY 041 IP B 15,000 44.91  BESSEMER INVESTMENT 085 ITW B 197,200 62.25  SCOPUS FUND 041 JWN SS 20,000 52.43  J. GOLDMAN 028 KSS B 22,330 46.92  SANDLER O'NEILL ASSET 031 LAZ B 15,000 35.49  PEREGRINE 030 LCC B 75,000 16.70  LOMAS CAPITAL 040 LVS B 30,000 53.36  VERITION 028 MGA SS 2,500 56.32  ROXBURY CAPITAL MGMT 033 MLI S 29,974 53.14  CSFB GLOBAL PROPRIETARY 041 MWV S 10,000 37.88	SCOPUS FUND 041 GPI S 35,000 60.53 n/a CR INTRINIC INVESTMENT 044 GPS SS 20,000 35.79 n/a GLENHILL CAPITAL 036 HNR B 50,000 3.66 n/a CR INTRINIC INVESTMENT 044 HPQ B 10,000 22.92 n/a CSFB GLOBAL PROPRIETARY 041 IP B 15,000 44.91 n/a BESSEMER INVESTMENT 085 ITW B 197,200 62.25 n/a SCOPUS FUND 041 JWN SS 20,000 52.43 n/a J. GOLDMAN 028 KSS B 22,330 46.92 n/a SANDLER O'NEILL ASSET 031 LAZ B 15,000 35.49 n/a PEREGRINE 030 LCC B 75,000 16.70 n/a LOMAS CAPITAL 040 LVS B 30,000 53.36 n/a VERITION 028 MGA SS 2,500 56.32 n/a ROXBURY CAPITAL MGMT 033 MLI S 29,974 53.14 n/a CSFB GLOBAL PROPRIETARY 041 MWV S 10,000 37.88 n/a	SCOPUS FUND         041         GPI         S         35,000         60.53         n/a         19-Mar           CR INTRINIC INVESTMENT         044         GPS         SS         20,000         35.79         n/a         n/a           GLENHILL CAPITAL         036         HNR         B         50,000         3.66         n/a         n/a           CR INTRINIC INVESTMENT         044         HPQ         B         10,000         22.92         n/a         n/a           CSFB GLOBAL PROPRIETARY         041         IP         B         15,000         44.91         n/a         18-Mar           BESSEMER INVESTMENT         085         ITW         B         197,200         62.25         n/a         n/a           SCOPUS FUND         041         JWN         SS         20,000         52.43         n/a         6-Mar           J. GOLDMAN         028         KSS         B         22,330         46.92         n/a         6-Mar           SANDLER O'NEILL ASSET         031         LAZ         B         15,000         35.49         n/a         7-Mar           LOMAS CAPITAL         040         LVS         B         30,000         53.36         n/a         n/a	SCOPUS FUND         041         GPT         S         35,000         60.53         n/a         19-Mar         1,400.00           CR INTRINIC INVESTMENT         044         GPS         SS         20,000         35.79         n/a         n/a         600.00           CLENHILL CAPITAL         036         HNR         B         50,000         3.66         n/a         n/a         2,500.00           CR INTRINIC INVESTMENT         044         HPQ         B         10,000         22.92         n/a         n/a         300.00           CSFB GLOBAL PROPRIETARY         041         IP         B         15,000         44.91         n/a         18-Mar         750.00           BESSEMER INVESIMENT         085         ITM         B         197,200         62.25         n/a         n/a         7,888.00           SCOPUS FUND         041         JWN         SS         20,000         52.43         n/a         6-Mar         800.00           J. GOLDMAN         028         KSS         B         22,330         46.92         n/a         7-Mar         750.00           PEREGRINE         030         LCC         B         75,000         16.70         n/a         5-Mar         3,000	SCOPUS FUND         041         GPI         S         35,000         60.53         n/a         19-Mar         1,400.00         0.0           CR INTRINIC INVESTMENT         044         GPS         SS         20,000         35.79         n/a         n/a         600.00         3.0           GLENHILL CAPITAL         036         HNR         B         50,000         3.66         n/a         n/a         2,500.00         0.0           CR INTRINIC INVESTMENT         044         HPQ         B         10,000         22.92         n/a         n/a         300.00         3.0           CSFB GLOBAL PROPRIETARY         041         IP         B         15,000         44.91         n/a         18-Mar         750.00         5.0           BESSEMER INVESTMENT         085         ITW         B         197,200         62.25         n/a         n/a         7,888.00         0.0           J. GOLDMAN         028         KSS         B         22,330         46.92         n/a         6-Mar         893.20         4.0           SANDLER O'NEILL ASSET         031         LAZ         B         15,000         35.49         n/a         7-Mar         750.00         5.0           PEREGRI

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LEVIN CAPITAL STRATEGIES	041	NKE	SS	10,000	53.58	n/a	19-Mar	300.00	0.0
NEW JERSEY DIV OF INV.	030	NSC	S	41,000	75.58	n/a	n/a	1,640.00	4.0
MACELLUM CAPITAL	086	PERY	В	25,000	17.23	n/a	n/a	750.00	0.0
JET CAPITAL/CHRIS	041	PRKR	В	100,000	3.50	n/a	n/a	3,000.00	0.0
RAINIER INV MGMT	033	RDEN	S	7,120	37.94	n/a	28-Feb	284.80	0.0
BALYASNY ASSET MGMT	044	RL	С	10,000	167.67	n/a	21-Feb	500.00	0.0
ACK ASSET	028	RTK	S	100,000	2.43	n/a	n/a	3,000.00	0.0
BTG PACTUAL	040	SBUX	В	10,000	56.71	n/a	18-Mar	300.00	3.0
MERRILL ASSET/BLACKROCK	297	SF	В	16,100	36.30	n/a	n/a	644.00	0.0
VERITION	028	TEX	В	5,000	34.79	n/a	n/a	150.00	3.0
	0.4.4			10.000	66.00	,	10.4	222	
CR INTRINIC INVESTMENT LEVIN CAPITAL STRATEGIES	044	TGT TGT	SS SS	10,000 10,000	66.39 66.04	n/a n/a	13-Mar 13-Mar	300.00	3.0 0.0
LEVIN CAPITAL STRATEGIES	041	161	33	10,000	00.04	11/ a	IJ-Mai	300.00	0.0
J. GOLDMAN	028	UPS	SS	17,500	85.08	n/a	n/a	700.00	4.0
CASTLE ARK	031	WFM	S	75,431	85.42	n/a	n/a	3,771.55	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	30.68	n/a	15-Mar	1,250.00	5.0
ENTRUST CAPITAL	040	X	В	49,600	19.63	n/a	n/a	2,480.00	5.0

TOTAL (Trade Date): 74,990.93

Туре	Date Account	RR # Symbol B/S	Shares Price	MRI Research Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):			0.00
	(Trade Date): (AO, CXL, CRT):			74,990.93 0.00
TOTAL	(RUN DATE) / NFS:			74,990.93

## 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