



Daily Compliance Activity Report

Trade Date: 03/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	ABX	B	100,000	29.57	n/a	n/a	4,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	AEO	SS	100,000	20.20	n/a	2-Dec	3,000.00	3.0
SAC CAPITAL/M GRONET	030	AEO	S	20,000	20.19	n/a	2-Dec	600.00	3.0
SAC CAPITAL/M GRONET	030	ANF	S	10,000	46.92	n/a	n/a	300.00	3.0
CASTLEROCK	040	ARCO	B	11,250	12.16	n/a	4-Mar	450.00	0.0
MILLENNIUM-NEW VERNON	031	AXE	B	16,000	68.80	n/a	5-Mar	960.00	6.0
GEORGE WEISS	278	AXL	S	10,000	12.69	n/a	6-Mar	400.00	0.0
HAMILTON CAP PART FIN	031	BBT	B	44,100	30.54	n/a	n/a	1,323.00	3.0
PARAMETER CAPITAL MGMT LLC	044	BBT	B	30,000	30.55	n/a	n/a	900.00	3.0
FIRST NY SEC/CHRIS	041	BBY	B	15,000	19.19	n/a	n/a	750.00	5.0
BERYLSON CAPITAL	030	BONT	B	18,300	11.37	n/a	6-Mar	549.00	3.0
DSG CAPITAL	030	BONT	B	2,900	11.27	n/a	6-Mar	87.00	3.0
LISTED ERR	099	BONT	S	2	11.40	n/a	6-Mar	0.00	0.0
SENATOR INVESTMENT GROUP	036	COF	S	50,000	54.26	n/a	1-Mar	1,500.00	0.0
MELLON/BANK OF NEW YORK	046	CVX	B	106,262	118.40	n/a	n/a	4,161.38	0.0
LOMAS CAPITAL	040	DAL	B	100,000	15.95	n/a	5-Mar	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	DAL	S	210,100	15.96	n/a	5-Mar	6,303.00	0.0
SUFFOLK CAPITAL MGMT	040	DAL	S	50,000	15.85	n/a	5-Mar	2,000.00	0.0
BALYASNY ASSET MGMT	044	DECK	S	10,000	48.47	n/a	n/a	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DELL	B	17,000	14.33		n/a	n/a	510.00 3.0
WATERFRONT CAP	028	DHI	S	63,400	23.82	n/a	n/a	2,536.00	0.0
PARAMETER CAPITAL MGMT LLC	044	DHR	B	20,000	61.96	n/a	n/a	600.00	3.0
MACELLUM CAPITAL	086	DKS	S	69,000	50.60	n/a	6-Mar	2,070.00	3.0
MAIRS AND POWER INV	030	EMR	B	10,000	56.35	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	297	EPR	B	13,100	49.09	n/a	n/a	524.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	30,000	35.00	n/a	6-Mar	900.00	3.0
OZ MGMT	040	GM	SS	62,379	27.90	n/a	6-Mar	1,871.37	0.0
VISIUM/BALY BOBBY	044	GM	B	20,000	27.78	n/a	6-Mar	1,000.00	0.0
S.A.C. CAPITAL	044	HBI	SS	20,000	39.55	n/a	1-Mar	600.00	3.0
WATERFRONT CAP	028	HD	S	20,600	70.41	n/a	n/a	824.00	0.0
MADISON ST PARTNERS LLC	046	IGT	B	20,000	16.93	n/a	13-Jun	1,000.00	5.0
FRED ALGER MGMT	070	IPXL	S	61,970	15.51	n/a	5-Mar	2,230.92	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	46.05	n/a	6-Mar	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	IP	S	8,525	46.03	n/a	6-Mar	630.00	15.6
BRONSON POINT	036	JCI	B	25,000	32.71	n/a	6-Mar	750.00	0.0
IMPALA ASSET MMT	040	KEX	S	43,072	75.72	n/a	n/a	2,153.60	5.0
IMPALA ASSET MMT	040	KNL	B	118,300	18.03	n/a	n/a	4,732.00	4.0
CR INTRINIC INVESTMENT	044	LEA	SS	2,300	54.26	n/a	1-Mar	69.00	3.0
PAULSON & CO INC	041	LOGM	C	126,000	17.96	n/a	n/a	3,780.00	0.0
WATERFRONT CAP	028	LOW	S	18,400	38.85	n/a	n/a	736.00	0.0
LISTED ERR	099	LSI	B	1,763	6.85	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	LTD	SS	20,000	44.94	n/a	n/a	600.00	3.0
SENATOR INVESTMENT GROUP	036	MDLZ	S	367,802	28.49	n/a	n/a	11,034.06	3.0
BAIRD INVESTMENT	047	NKE	B	9,650	55.32	n/a	6-Mar	482.50	0.0
MELLON/BANK OF NEW YORK	046	OXY	S	169,460	81.93	n/a	n/a	6,649.48	0.0
PARAMETER CAPITAL MGMT LLC	044	PFG	SS	20,000	32.56	n/a	n/a	600.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	S	25,000	124.46	n/a	1-Mar	750.00	3.0
BRONSON POINT	036	RIG	B	50,000	53.43	n/a	n/a	1,500.00	0.0
FIRST NY SEC/CHRIS	041	SPLS	B	10,000	12.70	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSTERWEIS CAPITAL	084	SPR	S	155,200	17.78	n/a	20-Feb	7,760.00	0.0
PARAMETER CAPITAL MGMT LLC044		STT	B	30,000	58.13	n/a	6-Mar	900.00	3.0
MELLON/BANK OF NEW YORK	046	TEVA	B	124,010	39.45	n/a	13-Feb	4,397.20	0.0
IMPALA ASSET MMT	040	TLT	SS	40,000	117.17	n/a	n/a	2,000.00	5.0
COLUMBUS CIRCLE	036	TMH	B	3,000	34.99	n/a	n/a	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		UA	B	25,000	50.20	n/a	6-Mar	750.00	3.0
HAMILTON CAP PART FIN	031	USB	B	39,900	33.70	n/a	n/a	1,197.00	3.0
TOTAL (Trade Date) :								98,790.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/06	SAC CAPITAL/M GRONET (SACJCSPB)	030	AEO	S	20,000	20.19	n/a	2-Dec	600.00 3.0
CRT	03/06	SAC CAPITAL/M GRONET (SACJCSPB)	030	ANF	S	10,000	46.92	n/a	n/a	300.00 3.0
CRT	03/06	LISTED ERR (LISTED ERR)	099	BONT	S	2	11.40	n/a	6-Mar	0.00 0.0
AO,CXL	03/04	CENTURION PARTNERS (CENTBSPT)	041	BONT	S	5,000	10.95	n/a	6-Mar	0.00 0.0
AO,CRT	03/04	CENTURION PARTNERS (CENTBSPT)	041	BONT	S	5,000	10.95	n/a	6-Mar	200.00 4.0
AO,CXL	03/05	GALT INVESTMENT (GALTGS)	041	CROX	S	25,000	15.01	n/a	n/a	1250.00 5.0
AO,CRT	03/05	GALT INVESTMENT (GALTGS)	041	CROX	S	25,000	15.01	n/a	n/a	1000.00 4.0
CRT	03/06	LOMAS CAPITAL (LOMACSFB)	040	DAL	B	100,000	15.95	n/a	5-Mar	3000.00 3.0
AO,	03/04	CATAPULT/KGLT (KEYHMILLEN)	040	FCX	SS	23,000	31.09	n/a	n/a	920.00 0.0
AO,CXL	03/05	GALT INVESTMENT (GALTGS)	041	HOTT	S	20,000	10.85	n/a	n/a	1000.00 5.0
AO,CRT	03/05	GALT INVESTMENT (GALTGS)	041	HOTT	S	20,000	10.85	n/a	n/a	800.00 4.0
AO,	03/01	LISTED ERR (LISTED ERR)	099	LCC	B	205	13.50	n/a	5-Mar	0.00 0.0
AO,CXL	03/01	LISTED ERR (LISTED ERR)	999	LCC	S	40,000	13.50	n/a	5-Mar	0.00 0.0
AO,	03/01	LISTED ERR (LISTED ERR)	099	LCC	S	40,000	13.50	n/a	5-Mar	0.00 0.0
AO,	03/01	LISTED ERR (LISTED ERR)	099	LCC	S	205	13.50	n/a	5-Mar	0.00 0.0
TOTAL (AO, CXL, CRT) :										4,570.00

TOTAL (Trade Date) :

98,790.51

TOTAL (AO, CXL, CRT):

4,570.00

TOTAL (RUN DATE) / NFS:

103,360.51

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