

Daily Compliance Activity Report Trade Date: 03/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
LOMAS CAPITAL	040	AXL	S	68,500	12.48	n/a	4-Mar	2,055.00	3.0	
DELTEC ASSET MGMT.	040	BA	В	5,000	77.75	n/a	1-Mar	250.00	5.0	
PARAMETER CAPITAL MGMT LL	C044	BDN	S	3,500	14.31	n/a	n/a	105.00	3.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 BIG	S	14,	500 33.85		n/a	n/a 43	5.00 3	3.0
BALYASNY ASSET MGMT	044	BONT	S	20,000	11.38	n/a	21-Feb	1,000.00	0.0	
LAKEWOOD CAPITAL MGMT	085	BTX	С	15,000	3.79	n/a	n/a	450.00	0.0	
ARMATURE CAPITAL	041	CBI	S	20,000	54.96	n/a	n/a	800.00	0.0	
DELTEC ASSET MGMT.	040	COF	В	30,000	54.07	n/a	1-Mar	1,500.00	5.0	
DELTEC ASSET MGMT.	040	СОН	S	5,000	50.10	n/a	27-Feb	250.00	5.0	
GALT INVESTMENT	041	CROX	S	25,000	15.01	n/a	n/a	1,250.00	5.0	
ARMATURE CAPITAL	041	DE	В	50,000	89.64	n/a	11-Jul	2,000.00	0.0	
SCOPUS FUND	041	DLPH	В	48,500	42.47	n/a	n/a	1,940.00	0.0	
LATEEF MGMT	033	DVN	В	150	54.36	n/a	1-Mar	30.00	20.0	
PATTEN & PATTEN	025	EWG	S	10,000	24.95	n/a	n/a	500.00	5.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
ROARING BLUE LION MGMT	031	EXPR	В	39,950	18.54	n/a	n/a	1,598.00	4.0	
PATTEN & PATTEN	025	EZU	В	5,000	33.60	n/a	n/a	250.00	5.0	
HOLLIS CAPITAL	033	FCX	S	4,000	31.55	n/a	n/a	200.00	5.0	
ROARING BLUE LION MGMT	031	FL	В	22,060	35.11	n/a	5-Mar	882.40	4.0	
ADAGE CAPITAL MGMT	030	FNP	В	25,300	18.00	n/a	n/a	759.00	3.0	
NOKOMIS PARTNERS	031	FXI	В	24,000	38.32	n/a	n/a	720.00	3.0	
ARMATURE CAPITAL	041	F	В	350,000	12.97	n/a	4-Mar	14,000.00	0.0	
GALT INVESTMENT	041	НОТТ	S	20,000	10.85	n/a	n/a	1,000.00	5.0	
SASCO	033	IP	S	10,040	45.05	n/a	1-Mar	351.40	0.0	
ARMATURE CAPITAL	041	ITW	В	25,000	62.07	n/a	n/a	1,000.00	0.0	
ARMATURE CAPITAL	041	JCI	SS	50,000	31.83	n/a	1-Mar	2,000.00	0.0	
ARMATURE CAPITAL	041	JEC	В	20,000	50.02	n/a	n/a	800.00	0.0	
J. GOLDMAN	028	KORS	S	20,000	60.63	n/a	21-Feb	800.00	0.0	
LATEEF MGMT	033	KR	S	250	29.60	n/a	n/a	30.00	12.0	
ELM RIDGE ADVISORS	044	KSS	В	67,300	46.42	n/a	1-Mar	2,692.00	0.0	
	ROARING BLUE LION MGMT PATTEN & PATTEN HOLLIS CAPITAL ROARING BLUE LION MGMT ADAGE CAPITAL MGMT NOKOMIS PARTNERS ARMATURE CAPITAL GALT INVESTMENT SASCO ARMATURE CAPITAL ARMATURE CAPITAL J. GOLDMAN LATEEF MGMT	ROARING BLUE LION MGMT 031 PATTEN & PATTEN 025 HOLLIS CAPITAL 033 ROARING BLUE LION MGMT 031 ADAGE CAPITAL MGMT 030 NOKOMIS PARTNERS 031 ARMATURE CAPITAL 041 SASCO 033 ARMATURE CAPITAL 041 ARMATURE CAPITAL 041 ARMATURE CAPITAL 041 J. GOLDMAN 028 LATEEF MGMT 033	ROARING BLUE LION MGMT 031 EXPR PATTEN & PATTEN 025 EZU HOLLIS CAPITAL 033 FCX ROARING BLUE LION MGMT 031 FL ADAGE CAPITAL MGMT 030 FNP NOKOMIS PARTNERS 031 FXI ARMATURE CAPITAL 041 F GALT INVESTMENT 041 HOTT SASCO 033 IP ARMATURE CAPITAL 041 ITW ARMATURE CAPITAL 041 JCI ARMATURE CAPITAL 041 JCI ARMATURE CAPITAL 041 JEC J. GOLDMAN 028 KORS LATEEF MGMT 033 KR	ROARING BLUE LION MGMT 031 EXPR B PATTEN & PATTEN 025 EZU B HOLLIS CAPITAL 033 FCX S ROARING BLUE LION MGMT 031 FL B ADAGE CAPITAL MGMT 030 FNP B NOKOMIS PARTNERS 031 FXI B ARMATURE CAPITAL 041 F B GALT INVESTMENT 041 HOTT S SASCO 033 IP S ARMATURE CAPITAL 041 ITW B ARMATURE CAPITAL 041 JCI SS ARMATURE CAPITAL 041 JEC B J. GOLDMAN 028 KORS S LATEEF MGMT 033 KR S	ROARING BLUE LION MGMT 031 EXPR B 39,950 PATTEN & PATTEN 025 EZU B 5,000 HOLLIS CAPITAL 033 FCX S 4,000 ROARING BLUE LION MGMT 031 FL B 22,060 ADAGE CAPITAL MGMT 030 FNP B 25,300 NOKOMIS PARTNERS 031 FXI B 24,000 ARMATURE CAPITAL 041 F B 350,000 GALT INVESTMENT 041 HOTT S 20,000 SASCO 033 IP S 10,040 ARMATURE CAPITAL 041 ITW B 25,000 ARMATURE CAPITAL 041 JCI SS 50,000 ARMATURE CAPITAL 041 JEC B 20,000 J. GOLDMAN 028 KORS S 20,000 LATEEF MGMT 033 KR S 250	ROARING BLUE LION MGMT 031 EXPR B 39,950 18.54 PATTEN & PATTEN 025 EZU B 5,000 33.60 HOLLIS CAPITAL 033 FCX S 4,000 31.55 ROARING BLUE LION MGMT 031 FL B 22,060 35.11 ADAGE CAPITAL MGMT 030 FNP B 25,300 18.00 NOKOMIS PARTNERS 031 FXI B 24,000 38.32 ARMATURE CAPITAL 041 F B 350,000 12.97 GALT INVESTMENT 041 HOTT S 20,000 10.85 SASCO 033 IP S 10,040 45.05 ARMATURE CAPITAL 041 ITW B 25,000 62.07 ARMATURE CAPITAL 041 JCI SS 50,000 31.83 ARMATURE CAPITAL 041 JEC B 20,000 50.02 J. GOLDMAN 028 KORS S 20,000 60.63 LATEEF MGMT 033 KR S 250 29.60	ROARING BLUE LION MGMT 031 EXPR B 39,950 18.54	ROARING BLUE LION MGMT 031 EXPR B 39,950 18.54	ROARING BLUE LION MGMT 031 EXPR B 39,950 18.54	ROARING BLUE LION MGMT 031 EXPR B 39,950 18.54

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	FIRST NY SEC/CHRIS	041	LCC	В	10,000	13.94	n/a	5-Mar	500.00	5.0
	STRONG/MARK GRONET	030	LCC	В	105,050	13.99	n/a	5-Mar	4,202.00	0.0
	BRONSON POINT	036	LEA	В	25,000	53.80	n/a	1-Mar	750.00	0.0
	IRIDIAN ASSET MGMT.	036	LSI	В	357 , 140	6.85	n/a	n/a	17,857.00	0.0
	LISTED ERR	099	LSI	S	1,763	6.85	n/a	n/a	0.00	0.0
	LISTED ERR	099	LVS	В	100	50.87	n/a	13-Jun	0.00	0.0
	LISTED ERR	099	LVS	S	100	50.88	n/a	13-Jun	0.00	0.0
	CASTLEROCK	040	MCD	SS	3 , 750	95.49	n/a	4-Mar	150.00	0.0
	ACK ASSET	028	MLI	В	25,000	54.55	n/a	1-Mar	750.00	0.0
	ARMATURE CAPITAL	041	NAV	В	50,000	24.62	n/a	11-Jul	2,000.00	0.0
	ROSEDALE CAPITAL	046	PBCT	S	25,000	13.21	n/a	4-Feb	1,000.00	4.0
	BALYASNY ASSET MGMT	044	PETM	SS	10,000	65.84	n/a	n/a	500.00	0.0
	ROARING BLUE LION MGMT	031	PLCE	В	16,130	46.36	n/a	10-Jan	645.20	4.0
	BASSWOOD PARTNERS	267	PNC	В	63 , 900	64.17	n/a	n/a	2,556.00	0.0
	CR INTRINIC INVESTMENT	044	RPM	S	30,000	30.50	n/a	n/a	900.00	3.0
	S.A.C. CAPITAL	044	SCSS	SS	20,000	17.10	n/a	n/a	600.00	3.0
	JETSTREAM GLOBAL FUND LP	065	TEX	S	100,000	33.63	n/a	n/a	5,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
ASCEND PARTNERS	033	TGT	SS	80,000	66.53	n/a	1-Mar	2,400.00	0.0
J. GOLDMAN	028	TGT	SS	10,000	66.75	n/a	1-Mar	400.00	4.0
ROARING BLUE LION MGMT	031	TRLG	В	23,380	27.90	n/a	n/a	935.20	4.0
1798 CAP/LOMBARD ASSET	040	URI	В	17,500	55.16	n/a	17-Apr	875.00	0.0
ADAGE CAPITAL MGMT	030	WMT	S	170,000	73.66	n/a	22-Feb	5,100.00	0.0
KINGDON ASSET MGMT	041	WMT	В	35,000	73.87	n/a	22-Feb	1,400.00	0.0
BRONSON POINT	036	WY	В	50,000	30.37	n/a	1-Mar	1,500.00	0.0

TOTAL (Trade Date): 89,668.20

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.¢/Sh	r.
AO,CXL	03/04	CATAPULT/KGLT (KEYHMILLEN)	040	FCX	SS		23,000	31.09	n/a	n/a	920.00 4.	0
•		GUGGENHEIM GLOBAL TRADING (GGT) GUGGENHEIM GLOBAL TRADING (GGT)				S S	5,00 5,00				1/a 150.00 1/a 200.00	3.0 4.0
TOTAL	(AO, 0	CXL, CRT):								-	870.00	

TOTAL (RUN DATE) / NFS:	88,798.20
TOTAL (AO, CXL, CRT):	-870.00
TOTAL (Trade Date):	89,668.20

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