



## Daily Compliance Activity Report

Trade Date: 03/13/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	250	429.49	n/a	n/a	100.00	40.0
SCOPUS FUND	041	ABG	B	10,000	36.97	n/a	20-Feb	400.00	4.0
MERRILL ASSET/BLACKROCK	297	AFG	B	6,100	45.70	n/a	n/a	244.00	0.0
COHE & STEERS	041	AIV	S	59,610	30.04	n/a	n/a	2,384.40	0.0
SCOPUS FUND	041	ALSN	B	25,000	23.43	n/a	n/a	1,000.00	4.0
PAR CAPITAL	268	AWAY	SS	440	30.83	n/a	n/a	17.60	0.0
MERRILL ASSET/BLACKROCK	297	AWH	B	4,300	88.57	n/a	n/a	172.00	0.0
COHE & STEERS	041	BEE	B	21,800	7.71	n/a	n/a	436.00	0.0
COOPER CREEK PART	028	BONT	B	2,400	13.15	n/a	13-Mar	96.00	4.0
BAIRD INVESTMENT	047	COG	S	31,875	65.32	n/a	7-Mar	1,593.75	0.0
FARALLON CAP MGMT	040	COL	S	78,000	63.13	n/a	11-Mar	3,120.00	4.0
CENTURION PARTNERS	041	CTL	B	15,000	34.71	n/a	n/a	600.00	4.0
HALCYON LLC	041	DFS	B	125,000	42.89	n/a	13-Mar	3,750.00	3.0
LATEEF MGMT	033	DVN	B	250	55.82	n/a	7-Mar	50.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	ENR	S	1,000	94.33	n/a	28-Feb	132.50	15.5
ZWEIG FUNDS	006	GES	SS	25,000	27.12	n/a	12-Mar	1,250.00	0.0
WATERFRONT CAP	028	HST	S	25,807	17.29	n/a	13-Jun	1,032.28	0.0
COHE & STEERS	041	HT	S	4,800	5.85	n/a	n/a	96.00	0.0
HALCYON LLC	041	IRM	B	95,805	36.29	n/a	n/a	2,874.15	0.0
ROSEDALE CAPITAL	046	JBLU	S	20,000	6.75	n/a	5-Mar	600.00	3.0
LATEEF MGMT	033	JNJ	S	300	78.65	n/a	n/a	45.00	15.0
LATEEF MGMT	033	JPM	S	400	50.17	n/a	11-Mar	52.00	13.0
CRAMER ROSENTHAL	070	JWN	S	14,780	53.96	n/a	6-Mar	591.20	0.0
WATERFRONT CAP	028	KBH	SS	31,366	20.33	n/a	n/a	1,254.64	0.0
MERRILL ASSET/BLACKROCK	297	MA	B	65,300	527.02	n/a	12-Feb	2,612.00	0.0
LOMAS CAPITAL	040	MHP	B	22,000	48.58	n/a	n/a	660.00	3.0
CORNERSTONE	030	NKE	S	130,901	54.22	n/a	13-Mar	3,927.03	0.0
SIGMA CAPITAL ASSOCIATES	041	NKE	B	25,000	54.09	n/a	13-Mar	750.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.49	n/a	n/a	800.00	4.0
CASTLEROCK	040	SBUX	B	6,000	58.57	n/a	11-Mar	240.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	SPR	B	50,000	18.51	n/a	11-Mar	1,500.00	0.0
J. GOLDMAN	028	SSI	B	15,224	26.48	n/a	13-Mar	608.96	4.0
<b>DEPRINCE, RACE &amp; ZOLLO</b>	<b>093</b>	<b>TA</b>	<b>B</b>	<b>20,000</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>0.0</b>
LAKEWOOD CAPITAL MGMT	085	TEAR	SS	10,000	6.23	n/a	n/a	300.00	0.0
HARVEST MGMT (JMP)	029	TGT	B	5,000	67.01	n/a	13-Mar	200.00	4.0
RIDGECREST INV MGMT LLC	028	TGT	S	5,000	66.83	n/a	13-Mar	200.00	4.0
COLUMBUS CIRCLE	036	TNGO	S	23,515	12.47	n/a	n/a	654.96	0.0
1798 CAP/LOMBARD ASSET	040	TSO	S	100,000	55.60	n/a	n/a	5,000.00	0.0
BASSWOOD PARTNERS	267	TWI	B	65,000	20.96	n/a	n/a	2,600.00	0.0
M&I FUNDS	047	URBN	B	5,908	41.28	n/a	n/a	236.32	4.0
SCOPUS FUND	041	UTX	S	50,000	93.11	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	VSI	B	20,000	51.18	n/a	n/a	600.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>45,780.79</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/11	DISIPLINED GROWTH INV. (DISI911769)	030	LTD	B	9,500	45.21	n/a	n/a	475.00 0.0
AO,CXL	03/11	DISIPLINED GROWTH INV. (DISINVIEW)	030	LTD	B	9,500	45.21	n/a	n/a	475.00 0.0
AO,CXL	03/12	PARKWEST (PARWGSBULK)	084	PAY	S	40,000	22.01	n/a	n/a	1200.00 3.0
AO,CRT	03/12	PARKWEST (PARWGSBULK)	084	PAY	S	40,000	22.01	n/a	n/a	1600.00 4.0
AO,CXL	03/12	SPARTAN (SPATDCMGS)	093	SWN	S	7,000	37.68	n/a	7-Mar	210.00 3.0
AO,CRT	03/12	SPARTAN (SPATGSCO)	093	SWN	S	7,000	37.68	n/a	7-Mar	210.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>400.00</b>
TOTAL (Trade Date) :										45,780.79
TOTAL (AO, CXL, CRT) :										400.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>46,180.79</b>

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