



Daily Compliance Activity Report

Trade Date: 04/08/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	ALL	S	300	49.54	n/a	n/a	45.00	15.0
SIGMA CAPITAL ASSOCIATES	041	ANN	SS	50,000	29.06	n/a	n/a	1,500.00	3.0
KLEINHEINZ CAP PART	031	AN	B	75,000	42.30	n/a	19-Mar	3,750.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	30,000	15.07		n/a	n/a	900.00 3.0
COLUMBUS CIRCLE	036	ARUN	B	8,600	22.73	n/a	n/a	344.00	0.0
COOPER CREEK PART	028	BONT	B	10,000	13.32	n/a	8-Apr	400.00	4.0
PROVIDENCE EQUITY CAP. MKTS.	040	BONT	S	14,004	13.35	n/a	8-Apr	420.12	3.0
GALT INVESTMENT	041	CHS	S	15,000	17.77	n/a	5-Feb	600.00	4.0
CYRUS CAPITAL	025	COH	S	66,000	49.75	n/a	27-Feb	1,980.00	3.0
BALYASNY ASSET MGMT	044	CRI	C	17,516	59.00	n/a	n/a	875.80	0.0
S.A.C. CAPITAL	044	CSX	SS	50,000	23.85	n/a	n/a	1,500.00	3.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	14.36	n/a	n/a	400.00	3.7
LATEEF MGMT	033	CVS	S	300	55.93	n/a	n/a	45.00	15.0
SEVEN LOCKS CAPITAL	025	CWH	S	100,000	22.09	n/a	n/a	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.50	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	DAL	S	450	14.82	n/a	8-Apr	45.00	10.0
AELTUS/ING IVESTMENT MGT	215	DIS	B	244,748	58.64	n/a	n/a	7,342.44	0.0
FORTRESS INVESTMENT (US)	036	DLPH	B	71,000	42.47	n/a	n/a	2,840.00	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	B	10,000	10.56	n/a	n/a	400.00	4.0
LATEEF MGMT	033	DRE	S	550	17.35	n/a	n/a	55.00	10.0
MERRILL ASSET/BLACKROCK	297	EDD	B	12,000	16.71	n/a	n/a	480.00	0.0
S.A.C. CAPITAL	044	EWG	B	20,000	24.40	n/a	n/a	600.00	3.0
S.A.C. CAPITAL	044	GE	SS	20,000	22.95	n/a	n/a	600.00	3.0
LATEEF MGMT	033	GIS	S	225	48.44	n/a	n/a	45.00	20.0
ROSEDALE CAPITAL	046	GM	B	10,000	27.52	n/a	8-Apr	500.00	5.0
MERRILL ASSET/BLACKROCK	297	HBHC	S	32,900	29.58	n/a	n/a	1,316.00	0.0
LATEEF MGMT	033	JCI	B	500	33.06	n/a	27-Mar	50.00	10.0
WOOSTER CAPITAL	044	LEA	B	15,000	52.34	n/a	3-Apr	600.00	4.0
KEYGROUP/KGLT	040	LNG	S	24,000	26.86	n/a	n/a	960.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	25,000	38.77	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FRED ALGER MGMT	070	LRCX	S	13,600	40.40	n/a	n/a	489.60	0.0	
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	36.36	n/a	26-Mar	200.00	4.0	
J. GOLDMAN	028	M	SS	10,000	44.01	n/a	8-Apr	400.00	4.0	
LEVIN CAPITAL STRATEGIES	041	NE	B	24,000	37.50	n/a	n/a	720.00	0.0	
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	5.96	n/a	n/a	900.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NRG	B	5,000	26.34		n/a	n/a	150.00	3.0
LEVIN CAPITAL STRATEGIES	041	OIH	SS	23,627	41.85	n/a	n/a	708.81	0.0	
LATEEF MGMT	033	OI	B	150	25.34	n/a	n/a	30.00	20.0	
FRED ALGER MGMT	070	OPEN	S	65,890	63.06	n/a	n/a	2,372.04	0.0	
MAIRS AND POWER INV	030	PFG	B	9,000	33.60	n/a	n/a	450.00	5.0	
LATEEF MGMT	033	PG	S	500	78.70	n/a	1-Apr	90.00	22.5	
ASCEND PARTNERS	033	PVH	B	21,111	107.30	n/a	1-Apr	633.33	0.0	
FRED ALGER MGMT	070	PXD	B	13,200	120.13	n/a	8-Apr	475.20	0.0	
LEVIN CAPITAL STRATEGIES	041	QCOM	SS	15,000	65.33	n/a	n/a	450.00	0.0	
FRED ALGER MGMT	070	SPLK	S	7,000	39.91	n/a	n/a	252.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	SSI	B	3,000	27.12	n/a	8-Apr	150.00	5.0
LATEEF MGMT	033	TGT	S	100	69.07	n/a	13-Mar	30.00	30.0
BRONSON POINT	036	TLT	C	50,000	121.91	n/a	n/a	1,500.00	0.0
CR INTRINIC INVESTMENT	044	TSCO	B	10,000	107.78	n/a	n/a	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		TWTC	S	5,000	26.20		n/a	n/a	150.00 3.0
FORTRESS INVESTMENT (US)	036	WHR	B	26,000	114.23	n/a	n/a	1,040.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	25,000	88.74	n/a	n/a	750.00	0.0
FRED ALGER MGMT	070	YELP	S	20,100	25.53	n/a	n/a	723.60	0.0
TOTAL (Trade Date) :								45,707.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/05	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	22,389	2.86	n/a	n/a	671.67 3.0
AO,CRT	04/05	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	22,389	2.86	n/a	n/a	447.78 2.0
AO,CXL	04/05	SAGE ASSET MGMT (SAGEJEFF)	025	RT	SS	33,200	7.70	n/a	n/a	1660.00 5.0
AO,CRT	04/05	SAGE ASSET MGMT (SAGEJEFF)	025	RT	SS	33,200	7.70	n/a	n/a	1328.00 4.0
AO,CXL	04/05	MARCATO CAPITAL MGMT. (MARCMS)	029	VXX	B	500,000	21.10	n/a	n/a	20000.00 4.0
AO,CRT	04/05	MARCATO CAPITAL MGMT. (MARCMS)	029	VXX	B	500,000	21.10	n/a	n/a	15000.00 3.0
TOTAL (AO, CXL, CRT) :										-5,555.89
TOTAL (Trade Date) :										45,707.94
TOTAL (AO, CXL, CRT) :										-5,555.89
TOTAL (RUN DATE) / NFS:										40,152.05

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