



## Daily Compliance Activity Report

Trade Date: 03/11/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	ARCP	B	130,000	14.39	n/a	n/a	3,900.00	0.0
STELLIAM INV ADV	086	BBY	B	40,000	20.13	n/a	n/a	1,600.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		CPWR	B	25,000	12.03		n/a	n/a	750.00 3.0
COBALT	041	DAL	B	100,000	16.31	n/a	5-Mar	4,000.00	4.0
BESSEMER INVESTMENT	085	DD	S	10,672	49.27	n/a	n/a	426.88	4.0
CAMBIAR CAP	046	FINL	B	14,100	18.36	n/a	6-Mar	564.00	0.0
SCOPUS FUND	041	FL	B	50,000	32.44	n/a	8-Mar	2,000.00	0.0
GALT INVESTMENT	041	HOTT	S	12,300	13.85	n/a	n/a	615.00	5.0
HOPLITE MGMT	025	INTC	SS	65,000	21.37	n/a	n/a	2,600.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	47.00	n/a	7-Mar	2,500.00	5.0
IMPALA ASSET MMT	040	KNL	B	135,714	18.38	n/a	n/a	5,428.56	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	36.67	n/a	7-Mar	750.00	5.0
COLUMBIA PARTNERS	028	LNCO	B	5,000	39.99	n/a	n/a	200.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	B	24,100	45.21	n/a	n/a	1,205.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	NKE	B	25,000	54.53	n/a	6-Mar	750.00	3.0
WHITE PINE CAPITAL	030	NPTN	B	5,600	5.23	n/a	n/a	280.00	0.0
SCOPUS FUND	041	NSC	B	10,000	74.94	n/a	n/a	400.00	0.0
SENATOR INVESTMENT GROUP	036	PAYX	SS	100,000	33.88	n/a	n/a	3,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	PETM	S	25,000	62.79	n/a	n/a	750.00	3.0
DENVER INST. ADV	084	ROST	B	408	56.21	n/a	7-Mar	20.40	0.0
HAHN CAPITAL MANAGEMENT	084	ROST	B	27,748	56.21	n/a	7-Mar	1,387.40	0.0
NOKOMIS PARTNERS	031	SLB	B	16,000	77.70	n/a	n/a	480.00	3.0
LAKEWOOD CAPITAL MGMT	085	TEAR	SS	23,900	6.12	n/a	n/a	717.00	0.0
ROSEDALE CAPITAL	046	TLM	B	10,000	12.13	n/a	n/a	400.00	4.0
CYRUS CAPITAL	025	TROX	B	21,100	20.46	n/a	n/a	633.00	3.0
ASCEND PARTNERS	033	UA	B	41,356	48.19	n/a	6-Mar	1,240.68	0.0
LEVIN CAPITAL STRATEGIES	041	UA	C	30,350	48.11	n/a	6-Mar	910.50	0.0
NEWLAND CAPITAL MGT	025	UFS	S	12,500	77.75	n/a	n/a	500.00	4.0
SCOPUS FUND	041	VC	S	10,000	61.38	n/a	n/a	400.00	0.0
LAKEWOOD CAPITAL MGMT	085	WDC	S	4,000	47.94	n/a	n/a	120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADISON ST PARTNERS LLC	046	WFC	B	35,000	36.84	n/a	7-Mar	1,750.00	5.0
LAKEWOOD CAPITAL MGMT	085	XL	S	10,000	29.63	n/a	n/a	300.00	0.0
<b>TOTAL (Trade Date):</b>								<b>40,578.42</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									40,578.42
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									40,578.42
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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