Daily Compliance Activity Report

Trade Date: 04/02/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MERRILL ASSET/BLACKROCK	297	ALL	B	16,700	49.70	n/a	n/a	668.00	0.0
HIGHBRIDGE CAP	041	ALV	B	7,253	68.95	n/a	19-Mar	217.59	3.0
GEORGE WEISS	278	AXL	B	12,500	13.41	n/a	1-Apr	500.00	0.0
ROSEDALE CAPITAL	046	AXL	B	40,000	13.22	n/a	1-Apr	1,600.00	0.0
ROYCE TRADING	031	AYI	S	35,000	68.48	n/a	n/a	1,750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	AYI	S	28,802	68.47	n/a	n/a	864.06	0.0
OSKIE CAPITAL MGMT	224	BBRY	B	30,000	15.29	n/a	n/a	1,500.00	5.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	BCC	B	16,000	30.29	n/a	n/a	480.00	3.0
FINDLAY PARK PART	085	CHD	S	109,500	64.89	n/a	1-Apr	10,658.68	0.0
SURVEYOR CAPITAL	251	CHD	B	88,926	64.90	n/a	1-Apr	2,667.78	0.0
NOKOMIS PARTNERS	031	COH	SS	55,000	50.53	n/a	27-Feb	1,650.00	0.0
WHITE PINE CAPITAL	030	C	B	4,350	44.04	n/a	2-Apr	217.50	0.0
CAPITAL GROWTH MGMT.	241	DAL	S	250,000	15.34	n/a	2-Apr	10,000.00	4.0
STELLIAM INV ADV	086	DAL	B	52,500	15.04	n/a	2-Apr	2,100.00	0.0
J. GOLDMAN	028	DHR	S	29,000	61.92	n/a	n/a	1,160.00	4.0
BRIGADE CAPITAL MGMT	029	FST	B	100,000	4.91	n/a	n/a	3,000.00	0.0

1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
DENVER INST. ADV	046	FULT	S	100,000	11.51	n/a	n/a	4,000.00	0.0
HIGHBRIDGE CAP	041	GDX	SS	28,000	36.77	n/a	n/a	560.00	2.0
M&I FUNDS	047	GES	B	33,846	24.99	n/a	21-Mar	1,353.84	0.0
VERITION	028	GE	S	25,000	23.23	n/a	n/a	750.00	3.0
LOCUST WOOD CAPITAL MGMT	044	GM	S	60,000	27.69	n/a	2-Apr	2,400.00	4.0
SCOPUS FUND	041	GM	S	92,025	27.81	n/a	2-Apr	3,681.00	0.0
ESSENCIAL CAPITAL	031	IAG	S	5,000	6.86	n/a	n/a	100.00	2.0
SCOPUS FUND	041	IP	S	25,000	46.85	n/a	18-Mar	1,000.00	0.0
HIGHBRIDGE CAP	041	ITB	B	28,000	23.76	n/a	n/a	560.00	2.0
IMPALA ASSET MMT	040	KMB	SS	40,000	99.70	n/a	28-Mar	2,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	25,000	45.15	n/a	n/a	750.00	3.0
SIGMA CAPITAL ASSOCIATES	041	MCD	B	15,000	100.25	n/a	1-Apr	450.00	3.0
ESSENCIAL CAPITAL	031	MDR	S	5,000	10.56	n/a	n/a	100.00	2.0
M&I FUNDS	047	MGM	B	19,391	12.56	n/a	13-Jun	775.64	0.0
GABELLI FUNDS	025	MKC	S	15,000	72.67	n/a	n/a	750.00	0.0
LOMAS CAPITAL	040	MTB	S	14,000	102.29	n/a	n/a	393.00	1.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
NWQ INVESTMENT MGMT CO	084	NP	B	13,300	29.86	n/a	22-Feb	465.50	0.0
IMPALA ASSET MMT	040	POT	S	205,081	39.29	n/a	n/a	8,203.24	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	7,500	106.76	n/a	1-Apr	225.00	3.0
HIGHBRIDGE CAP	041	SHW	S	7,138	167.87	n/a	n/a	214.14	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	7,764	7.05	n/a	n/a	232.92	3.0
CAPITAL RESEARCH GROUP	296	SWN	B	215,000	36.80	n/a	1-Apr	7,525.00	0.0
T. ROWE PRICE	243	TTC	B	66,700	45.62	n/a	n/a	2,668.00	0.0
HIGHBRIDGE CAP	041	UAL	SS	34,000	29.59	n/a	1-Apr	1,020.00	3.0
IMPALA ASSET MMT	040	XLU	SS	100,000	39.10	n/a	n/a	4,000.00	4.0

TOTAL (Trade Date):   **83,210.89**

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	**04/01**	**BAIRD INVESTMENT (BAIRBMCFB)**	**097**	**CTRX**	**B**	**2,752**	**53.28**	**n/a**	**n/a**	**137.60**	**5.0**
AO,CXL	04/01	S.A.C. CAPITAL (SACCGS)	044	EXPE	B	350,000	60.63	n/a	n/a	17500.00	5.0
AO,CRT	04/01	S.A.C. CAPITAL (SACCGS)	044	EXPE	B	350,000	60.63	n/a	n/a	10500.00	3.0
AO,	04/01	CORVEX CAPITAL (CORVJPMPB)	041	LEA	S	15,000	55.78	n/a	1-Apr	450.00	0.0
AO,CXL	04/01	CORVEX CAPITAL (CORVGSPB)	041	LEA	S	30,000	55.78	n/a	1-Apr	900.00	0.0
AO,	04/01	CORVEX CAPITAL (CORVGSPB)	041	LEA	S	15,000	55.78	n/a	1-Apr	450.00	0.0
AO,CXL	03/28	CLEARLINE CAPITAL LLC (CLINGS)	040	SCSS	S	20,000	19.91	n/a	n/a	600.00	3.0
AO,	03/28	CLEARLINE CAPITAL LLC (CLINGS)	040	SCSS	S	20,000	19.91	n/a	n/a	800.00	0.0

TOTAL (AO, CXL, CRT):   **−6,662.40**

TOTAL (Trade Date):   83,210.89

TOTAL (AO, CXL, CRT):   −6,662.40

TOTAL (RUN DATE) / NFS: **76,548.49**

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