



Daily Compliance Activity Report

Trade Date: 04/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	ALV	SS	50,000	67.03	n/a	19-Mar	1,500.00	0.0
WOOSTER CAPITAL	044	ALV	B	25,700	66.99	n/a	19-Mar	1,028.00	0.0
ROSEDALE CAPITAL	046	APA	B	15,000	74.02	n/a	5-Apr	750.00	5.0
CASTLE ARK	031	APC	B	90,890	84.66	n/a	5-Apr	3,635.60	0.0
NEWLAND CAPITAL MGT	025	ARC	S	22,389	2.86	n/a	n/a	671.67	3.0
COOPER CREEK PART	028	BONT	B	100	12.60	n/a	13-Mar	4.00	4.0
FRONTIER	029	CME	B	44,780	59.52	n/a	28-Apr	1,791.20	0.0
DAVIDSON KEMPNER ADVISOR	040	CPWR	B	25,000	11.57	n/a	n/a	750.00	0.0
FRONTIER	029	CXO	S	25,470	88.38	n/a	n/a	1,018.80	0.0
SAGE ASSET MGMT	025	DAL	B	18,400	14.35	n/a	3-Apr	920.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DELL	B	55,539	14.21	n/a	n/a	1,666.17	0.0
CRAMER ROSENTHAL	070	DOV	B	85,757	71.76	n/a	n/a	3,430.28	0.0
MERRILL ASSET/BLACKROCK	297	EDD	B	12,077	16.62	n/a	n/a	483.08	0.0
FARALLON CAP MGMT	040	EMC	S	50,000	23.03	n/a	26-Feb	2,000.00	4.0
MERRILL ASSET/BLACKROCK	297	ESS	S	8,000	156.53	n/a	n/a	320.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	FRT	S	8,000	109.81	n/a	n/a	320.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	233,205	12.36	n/a	5-Apr	9,328.20	0.0
OZ MGMT	040	GM	SS	41,778	27.19	n/a	5-Apr	1,253.34	0.0
COLUMBUS CIRCLE	036	INXN	S	7,700	22.80	n/a	n/a	308.00	0.0
NEUBERGER BERMAN	036	IPCC	B	1,200	57.81	n/a	n/a	48.00	0.0
DC CAPITAL	044	LPX	B	10,000	19.82	n/a	5-Apr	300.00	3.0
MERRILL ASSET/BLACKROCK	297	MA	S	4,500	528.20	n/a	5-Apr	180.00	0.0
CR INTRINSIC/CHRIS C	041	MEOH	B	10,000	39.24	n/a	n/a	300.00	3.0
TIEDEMANN/TIG ADVISORS LLC006		MTZ	B	11,070	27.77	n/a	n/a	332.10	3.0
FRONTIER	029	NIHD	B	34,980	5.57	n/a	n/a	1,049.40	0.0
DAVIDSON KEMPNER ADVISOR	040	PCS	S	50,000	11.29	n/a	n/a	1,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		PVH	B	12,500	103.78	n/a	1-Apr	375.00	3.0
AELTUS/ING IVESTMENT MGT	215	RDN	B	500,000	10.06	n/a	n/a	15,000.00	0.0
SAGE ASSET MGMT	025	RT	SS	33,200	7.70	n/a	n/a	1,660.00	5.0
HOLLIS CAPITAL	033	SPN	S	5,000	24.15	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	STT	B	13,800	57.17	n/a	5-Apr	690.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TWTC	S	20,000	25.75	n/a	n/a	600.00	0.0
MARCATO CAPITAL MGMT.	029	VXX	B	500,000	21.10	n/a	n/a	20,000.00	4.0
MERRILL ASSET/BLACKROCK	297	V	B	14,700	163.90	n/a	20-Mar	588.00	0.0
ROYCE TRADING	031	WOR	S	25,000	29.23	n/a	n/a	1,250.00	0.0
SYMPHONY ASSET	033	XLP	C	32,190	39.63	n/a	n/a	965.70	0.0
AELTUS/ING INVESTMENT MGT	215	XOM	B	150,618	88.78	n/a	n/a	4,518.54	0.0
TOTAL (Trade Date) :								80,785.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/05	SAGE ASSET MGMT (SAGEJEFF)	025	RT	SS	33,200	7.70	n/a	n/a	1660.00 5.0
TOTAL (AO, CXL, CRT) :										1,660.00

TOTAL (Trade Date):	80,785.08
TOTAL (AO, CXL, CRT):	1,660.00
TOTAL (RUN DATE) / NFS:	82,445.08

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