



## Daily Compliance Activity Report

Trade Date: 03/19/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	AXL	B	20,000	13.03	n/a	19-Mar	800.00	4.0
WEXFORD CAPITAL	284	AXL	B	75,000	13.21	n/a	19-Mar	2,250.00	3.0
BALYASNY ASSET MGMT	044	BIG	B	50,000	35.19	n/a	n/a	2,500.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	CBR	S	127,850	4.80	n/a	n/a	5,114.00 0.0
IRIDIAN ASSET MGMT.	036	CCK	S	44,830	40.59	n/a	n/a	2,241.50	0.0
COLUMBUS CIRCLE	036	CLGX	S	8,948	25.73	n/a	n/a	357.92	0.0
BTG PACTUAL	040	COH	B	10,000	48.43	n/a	27-Feb	300.00	3.0
ROYCE TRADING	031	CROX	B	65,000	15.53	n/a	n/a	3,250.00	0.0
BRONSON POINT	036	C	C	25,000	45.75	n/a	15-Mar	750.00	0.0
SCOPUS FUND	041	DECK	B	50,000	48.86	n/a	n/a	2,000.00	0.0
BALYASNY ASSET MGMT	044	DKS	SS	20,000	47.48	n/a	19-Mar	1,000.00	0.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>EZCH</b>	<b>S</b>	<b>20,000</b>	<b>25.22</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SCOPUS FUND	041	F	SS	200,000	13.15	n/a	19-Mar	8,000.00	0.0
WOOSTER CAPITAL	044	F	SS	100,000	13.19	n/a	19-Mar	4,000.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>GES</b>	<b>SS</b>	<b>3,000</b>	<b>27.12</b>	<b>n/a</b>	<b>12-Mar</b>	<b>150.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	GPI	S	35,000	60.53	n/a	19-Mar	1,400.00	0.0
CR INTRINIC INVESTMENT	044	GPS	SS	20,000	35.79	n/a	n/a	600.00	3.0
GLENHILL CAPITAL	036	HNR	B	50,000	3.66	n/a	n/a	2,500.00	0.0
CR INTRINIC INVESTMENT	044	HPQ	B	10,000	22.92	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	44.91	n/a	18-Mar	750.00	5.0
BESSEMER INVESTMENT	085	ITW	B	197,200	62.25	n/a	n/a	7,888.00	0.0
SCOPUS FUND	041	JWN	SS	20,000	52.43	n/a	6-Mar	800.00	0.0
J. GOLDMAN	028	KSS	B	22,330	46.92	n/a	6-Mar	893.20	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	35.49	n/a	7-Mar	750.00	5.0
PEREGRINE	030	LCC	B	75,000	16.70	n/a	5-Mar	3,000.00	0.0
LOMAS CAPITAL	040	LVS	B	30,000	53.36	n/a	13-Jun	900.00	3.0
VERITION	028	MGA	SS	2,500	56.32	n/a	n/a	75.00	3.0
ROXBURY CAPITAL MGMT	033	MLI	S	29,974	53.14	n/a	1-Mar	1,198.96	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	10,000	37.88	n/a	12-Mar	500.00	5.0
SCOPUS FUND	041	M	SS	13,800	41.01	n/a	7-Mar	552.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	NKE	SS	10,000	53.58	n/a	19-Mar	300.00	0.0
NEW JERSEY DIV OF INV.	030	NSC	S	41,000	75.58	n/a	n/a	1,640.00	4.0
MACELLUM CAPITAL	086	PERY	B	25,000	17.23	n/a	n/a	750.00	0.0
JET CAPITAL/CHRIS	041	PRKR	B	100,000	3.50	n/a	n/a	3,000.00	0.0
RAINIER INV MGMT	033	RDEN	S	7,120	37.94	n/a	28-Feb	284.80	0.0
BALYASNY ASSET MGMT	044	RL	C	10,000	167.67	n/a	21-Feb	500.00	0.0
ACK ASSET	028	RTK	S	100,000	2.43	n/a	n/a	3,000.00	0.0
BTG PACTUAL	040	SBUX	B	10,000	56.71	n/a	18-Mar	300.00	3.0
MERRILL ASSET/BLACKROCK	297	SF	B	16,100	36.30	n/a	n/a	644.00	0.0
VERITION	028	TEX	B	5,000	34.79	n/a	n/a	150.00	3.0
CR INTRINIC INVESTMENT	044	TGT	SS	10,000	66.39	n/a	13-Mar	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	TGT	SS	10,000	66.04	n/a	13-Mar	300.00	0.0
J. GOLDMAN	028	UPS	SS	17,500	85.08	n/a	n/a	700.00	4.0
CASTLE ARK	031	WFM	S	75,431	85.42	n/a	n/a	3,771.55	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	30.68	n/a	15-Mar	1,250.00	5.0
ENTRUST CAPITAL	040	X	B	49,600	19.63	n/a	n/a	2,480.00	5.0

---

**TOTAL (Trade Date):**

**74,990.93**

---

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									74,990.93
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									74,990.93

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