



Daily Compliance Activity Report

Trade Date: 04/12/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	31,000	8.18	n/a	n/a	620.00	2.0
SCOPUS FUND	041	AGU	B	10,000	92.59	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ARCP	S	12,500	16.52		n/a	n/a	375.00 3.0
HIGHBRIDGE CAP	041	ATI	SS	9,000	29.47	n/a	11-Apr	270.00	3.0
TUDOR INVESTORS	028	AXL	B	20,000	13.36	n/a	12-Apr	600.00	3.0
NWQ INVESTMENT MGMT CO	084	AXS	S	4,000	42.45	n/a	n/a	140.00	0.0
MATRIX ASSET ADV.	091	BBT	B	1,000	30.85	n/a	n/a	40.00	4.0
PROVIDENCE EQUITY CAP. MKTS.040		BCC	B	6,000	30.56	n/a	n/a	180.00	3.0
COUGAR TRADING	044	BIG	SS	5,000	36.07	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	CAKE	SS	10,000	38.28	n/a	12-Apr	500.00	5.0
LATEEF MGMT	033	CBL	S	1,125	23.94	n/a	n/a	117.50	10.7
RIVERLOFT CAPITAL	044	CHK	S	25,000	19.74	n/a	n/a	750.00	3.0
COOPER CREEK PART	028	CHUY	S	10,000	33.04	n/a	n/a	400.00	0.0
NWQ INVESTMENT MGMT CO	084	CLW	S	1,900	50.62	n/a	n/a	66.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	DAN	SS	10,000	16.80	n/a	19-Mar	300.00	3.0
HIGHBRIDGE CAP	041	DE	SS	2,000	85.82	n/a	11-Jul	60.00	3.0
HIGHBRIDGE CAP	041	DK	B	7,238	37.78	n/a	n/a	217.14	3.0
FIRST NY SEC/CHRIS	041	EAT	SS	10,000	38.36	n/a	12-Apr	500.00	5.0
HIGHBRIDGE CAP	041	ETN	B	4,000	60.18	n/a	3-Apr	120.00	3.0
NEUBERGER BERMAN	036	EV	S	43,800	40.95	n/a	n/a	1,752.00	0.0
KENNEDY CAPITAL	046	FINL	B	1,800	18.73	n/a	10-Apr	72.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	78,925	19.23	n/a	10-Apr	2,367.75	0.0
KLEINHEINZ CAP PART	031	GLD	SS	75,000	148.58	n/a	n/a	3,750.00	5.0
ESSENCIAL CAPITAL	031	GM	S	5,000	29.67	n/a	12-Apr	150.00	3.0
NWQ INVESTMENT MGMT CO	084	HAR	S	2,600	44.84	n/a	3-Feb	91.00	0.0
CAMBIAR CAP	046	HBI	S	150,000	47.46	n/a	5-Apr	6,000.00	0.0
NEUBERGER BERMAN	036	HCC	S	27,325	42.49	n/a	n/a	1,093.00	0.0
HIGHBRIDGE CAP	041	HFC	B	5,939	46.96	n/a	n/a	178.17	3.0
PIMCO	084	HFC	SS	60,000	46.07	n/a	n/a	1,200.00	0.0
NWQ INVESTMENT MGMT CO	084	HRL	S	2,300	40.86	n/a	n/a	80.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	IP	S	4,000	48.63	n/a	5-Apr	200.00	5.0
KING STREET CAPITAL	086	JBLU	B	25,000	7.09	n/a	8-Apr	1,250.00	0.0
Õ Jack Chernus		KORS-PUTS	S	10	0.7000	n/a	n/a	0.00	0.0
T. ROWE PRICE	243	MCD	B	58,700	103.52	n/a	12-Apr	2,348.00	0.0
ESSENCIAL CAPITAL	031	MDR	S	5,000	10.77	n/a	n/a	150.00	3.0
NEW JERSEY DIV OF INV.	030	MNST	S	20,000	56.66	n/a	n/a	600.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	73,000	35.46	n/a	26-Mar	3,650.00	5.0
PROVIDENCE EQUITY CAP. MKTS.040		NIHD	S	30,000	7.01	n/a	n/a	900.00	3.0
NWQ INVESTMENT MGMT CO	084	ORB	S	18,600	16.85	n/a	n/a	651.00	0.0
DELTEC ASSET MGMT.	040	PVH	B	3,000	110.65	n/a	1-Apr	150.00	5.0
HIGHBRIDGE CAP	041	RIG	B	1,972	50.65	n/a	n/a	59.16	3.0
HIGHBRIDGE CAP	041	ROK	B	2,000	87.60	n/a	n/a	60.00	3.0
M&I FUNDS	047	SBGI	S	6,400	27.01	n/a	n/a	256.00	4.0
NEUBERGER BERMAN	036	SLH	S	20,000	54.85	n/a	n/a	800.00	0.0
NORTHWESTERN MUTUAL LIFE	047	SSI	B	5,852	29.18	n/a	11-Apr	234.08	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING (GGT)	251	TWTC	S	7,500	26.98		n/a	n/a	225.00	3.0
NEUBERGER BERMAN	036	WDR	S	29,300	44.10	n/a	2-Mar		1,172.00	0.0
NWQ INVESTMENT MGMT CO	084	WSH	S	3,700	39.31	n/a	n/a		129.50	0.0
TOTAL (Trade Date) :								35,475.30		

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) :									35,475.30
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									35,475.30

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