



Daily Compliance Activity Report

Trade Date: 03/27/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	278	ALV	SS	20,000	67.77	n/a	19-Mar	800.00	0.0
SCOPUS FUND	041	ALV	B	2,800	68.83	n/a	19-Mar	112.00	4.0
RAINIER INV MGMT	033	ANGI	B	15,000	19.88	n/a	n/a	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	B	10,000	14.48		n/a	n/a	300.00 3.0
GEORGE WEISS	278	AXL	S	5,000	13.43	n/a	27-Mar	200.00	0.0
ROSEDALE CAPITAL	046	AXL	S	20,000	13.47	n/a	27-Mar	600.00	3.0
PATRIOT STRATEGY PARTNERS	036	BMR	S	25,000	21.57	n/a	n/a	1,000.00	4.0
EPOCH INV MGMT	030	CCE	S	200,000	36.74	n/a	n/a	6,000.00	0.0
FINDLAY PARK PART	085	CHD	S	25,000	63.36	n/a	27-Mar	2,375.82	0.0
LAGRANGE CAP ADV	087	CLF	B	30,000	18.40	n/a	n/a	1,500.00	5.0
THREE G	041	COH	S	139,250	49.22	n/a	27-Feb	4,177.50	0.0
ADAGE CAPITAL MGMT	030	CRI	SS	49,374	56.73	n/a	n/a	1,481.22	3.0
ROYCE TRADING	031	CROX	B	25,000	14.75	n/a	n/a	1,250.00	0.0
SANDLER O'NEILL ASSET	031	C	B	10,000	44.49	n/a	21-Mar	500.00	5.0
EVERGREEN	047	ED	B	143,724	59.81	n/a	n/a	5,748.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FIRST NY SEC/CHRIS	041	EXPR	S	12,500	17.40	n/a	n/a	375.00	3.0	
LOMAS CAPITAL	040	FL	B	17,000	34.19	n/a	27-Mar	510.00	3.0	
WAGONHOUND/NICOLAS	033	FOR	B	50,000	22.19	n/a	26-Mar	2,000.00	0.0	
SCOPUS FUND	041	F	SS	100,000	13.21	n/a	27-Mar	4,000.00	4.0	
NOKOMIS PARTNERS	031	KSS	S	12,000	46.61	n/a	6-Mar	360.00	3.0	
MILLRACE FUND LP	028	LEA	S	1,960	55.05	n/a	22-Mar	78.40	0.0	
ADAGE CAPITAL MGMT	030	LULU	B	30,100	62.02	n/a	27-Mar	903.00	3.0	
MAIRS AND POWER INV	030	MDT	B	20,000	46.47	n/a	n/a	1,000.00	5.0	
HALCYON LLC	041	MMR	B	50,000	16.33	n/a	n/a	1,500.00	3.0	
STELLIAM INV ADV	086	MU	S	40,000	10.00	n/a	n/a	1,600.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	17,400	6.49		n/a	n/a	348.00	2.0
FOCUSED INVESTORS	084	NKE	S	113,800	58.63	n/a	27-Mar	4,552.00	0.0	
T. ROWE PRICE	243	NKE	S	95,600	58.32	n/a	27-Mar	3,824.00	0.0	
NWQ INVESTMENT MGMT CO	084	NP	B	2,000	30.37	n/a	22-Feb	70.00	0.0	
ADAGE CAPITAL MGMT	030	ROST	B	3,100	59.06	n/a	22-Mar	93.00	3.0	
SCOPUS FUND	041	SCVL	SS	1,435	20.53	n/a	n/a	57.40	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MASTERS CAPITAL MANAGE	025	SPY	B	50,000	155.21	n/a	n/a	1,500.00	3.0
SANDLER O'NEILL ASSET	031	STT	SS	6,800	59.06	n/a	21-Mar	340.00	5.0
BRONSON POINT	036	TLT	SS	100,000	118.48	n/a	n/a	3,000.00	0.0
1798 CAP/LOMBARD ASSET	040	TSO	S	15,000	57.98	n/a	n/a	750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		TWTC	B	20,000	24.54		n/a	n/a	600.00 3.0
ALTIMETER CAPITAL MGMT.	029	UAL	B	50,000	32.25	n/a	26-Mar	1,500.00	3.0
THREE G	041	ULTA	B	62,383	80.05	n/a	n/a	1,871.49	0.0
Õ Nilsa Vazquez		UNG	S	375	22.0010	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	URI	S	15,000	52.27	n/a	17-Apr	750.00	0.0
ASCEND PARTNERS	033	XLI	SS	9,900	41.23	n/a	n/a	297.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	151,800	71.01	n/a	25-Mar	6,072.00	0.0
TOTAL (Trade Date) :								64,596.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/27	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	20,000	13.47	n/a	27-Mar	600.00 3.0
AO,CXL	03/26	FINDLAY PARK PART (FINDAMERS)	085	CHD	S	83,300	63.64	n/a	27-Mar	7951.23 0.0
AO,CRT	03/26	FINDLAY PARK PART (FINDAMERS)	085	CHD	S	83,340	63.64	n/a	27-Mar	7951.23 0.0
AO,CXL	03/26	FINDLAY PARK PART (FINDRITAC)	085	CHD	S	1,200	63.64	n/a	27-Mar	114.54 0.0
AO,CRT	03/26	FINDLAY PARK PART (FINDRITAC)	085	CHD	S	1,160	63.64	n/a	27-Mar	114.54 0.0
AO,CRT	03/26	BAIRD INVESTMENT (BAIRBLCFB)	047	CTRX	B	50	52.91	n/a	n/a	0.05 0.1
AO,	03/26	DAVIDSON KEMPNER ADVISOR (DAVIUBS)	040	DELL	C	100,000	14.55	n/a	n/a	3000.00 0.0
AO,CXL	03/26	DAVIDSON KEMPNER ADVISOR (DAVIJPM)	040	DELL	C	100,000	14.55	n/a	n/a	3000.00 0.0
AO,CXL	03/26	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SONC	SS	10,000	12.53	n/a	n/a	500.00 5.0
AO,CRT	03/26	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SONC	SS	10,000	12.53	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										400.05
TOTAL (Trade Date) :										64,596.79
TOTAL (AO, CXL, CRT) :										400.05
TOTAL (RUN DATE) / NFS :										64,996.84

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