



## Daily Compliance Activity Report

Trade Date: 04/11/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHFIELDS CAP MGMT	030	ABX	B	100,000	24.85	n/a	n/a	4,000.00	0.0
COLUMBUS CIRCLE	036	ANF	B	3,800	50.21	n/a	n/a	152.00	0.0
MACELLUM CAPITAL	086	ANN	SS	34,000	30.16	n/a	n/a	1,020.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	35,000	15.97		n/a	n/a	1,050.00 3.0
ROSEDALE CAPITAL	046	AXL	S	20,000	13.35	n/a	3-Apr	800.00	4.0
SCOPUS FUND	041	AXL	B	100,000	13.33	n/a	3-Apr	4,000.00	0.0
SYMPHONY ASSET	033	BTU	B	49,660	20.78	n/a	n/a	1,489.80	0.0
COLUMBUS CIRCLE	036	CLGX	S	9,808	24.78	n/a	n/a	392.32	0.0
CAISSE DEPOT PLACEMENT Q	257	CVLT	B	10,000	71.46	n/a	n/a	300.00	3.0
T. ROWE PRICE	243	DLTR	B	92,400	47.29	n/a	1-Mar	3,696.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	41,325	19.72	n/a	10-Apr	1,239.75	0.0
BARON ASSET MGMT*	085	FOR	B	11,600	22.71	n/a	26-Mar	464.00	0.0
KEYGROUP/KGLT	040	FTI	B	25,000	54.82	n/a	n/a	1,000.00	0.0
OZ MGMT	040	F	C	170,248	13.54	n/a	11-Apr	5,107.44	0.0
PHILADELPHIA FINANCIAL	033	F	SS	70,814	13.34	n/a	11-Apr	2,832.56	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	GM	S	22,500	29.68	n/a	11-Apr	900.00	4.0
OZ MGMT	040	GM	B	100,000	29.66	n/a	11-Apr	3,000.00	0.0
CAMBIAR CAP	046	HBI	S	133,200	49.15	n/a	5-Apr	5,328.00	0.0
MERRILL ASSET/BLACKROCK	297	ICE	S	7,600	157.84	n/a	n/a	304.00	0.0
MOORE CAPITAL	257	IP	S	33,000	48.83	n/a	5-Apr	990.00	0.0
MELLON/BANK OF NEW YORK	046	IVZ	B	11,500	30.08	n/a	2-Mar	460.00	0.0
KING STREET CAPITAL	086	JBLU	B	75,000	7.12	n/a	8-Apr	3,750.00	0.0
COLUMBUS CIRCLE	036	KBH	B	12,600	22.04	n/a	n/a	504.00	0.0
S.A.C. CAPITAL	044	KSS	B	25,000	48.43	n/a	8-Apr	750.00	3.0
WOOSTER CAPITAL	044	LEA	B	10,000	54.68	n/a	3-Apr	400.00	4.0
DC CAPITAL	044	LPX	S	10,000	20.16	n/a	10-Apr	400.00	4.0
CAERUS GLOBAL	041	LTD	S	5,000	50.66	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	S	20,000	50.35	n/a	n/a	600.00	3.0
MELLON/BANK OF NEW YORK	046	MDLZ	B	13,300	30.58	n/a	n/a	532.00	0.0
MELLON/BANK OF NEW YORK	046	MET	B	10,100	37.76	n/a	n/a	404.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040		NIHD	S	30,000	7.00	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
SAGE ASSET MGMT	025	NOC	SS	7,150	72.13	n/a	11-Apr	357.50	5.0	
COLUMBUS CIRCLE	036	PHM	S	15,500	19.39	n/a	n/a	620.00	0.0	
WILLIAMS TRADING/BLUE MTN	087	PRKR	B	400,000	4.16	n/a	n/a	4,000.00	0.0	
WILLIAMS TRADING/BLUE MTN	087	PRKR	SS	400,000	4.16	n/a	n/a	4,000.00	0.0	
DELTEC ASSET MGMT.	040	PVH	B	5,000	110.00	n/a	1-Apr	250.00	5.0	
LEVIN CAPITAL STRATEGIES	041	PVH	B	23,900	112.42	n/a	1-Apr	717.00	0.0	
WAGONHOUND/NICOLAS	033	ROST	S	21,955	63.73	n/a	11-Apr	878.20	0.0	
UNITED STATES PENSION	085	SPY	B	160,000	159.35	n/a	n/a	4,800.00	3.0	
NORTHWESTERN MUTUAL LIFE	047	SSI	B	77,198	29.25	n/a	11-Apr	3,087.92	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	S	10,000	7.38		n/a	n/a	300.00	3.0
IRIDIAN ASSET MGMT.	036	TEN	S	32,400	37.55	n/a	n/a	1,620.00	0.0	
RIDGECREST INV MGMT LLC	028	TGT	B	2,500	69.70	n/a	13-Mar	100.00	4.0	
ROARING BLUE LION MGMT	031	TIF	SS	27,100	73.78	n/a	n/a	1,084.00	4.0	
MELLON/BANK OF NEW YORK	046	WFC	B	10,300	37.70	n/a	5-Apr	412.00	0.0	
ADAGE CAPITAL MGMT	030	WMT	S	120,000	77.40	n/a	22-Feb	3,600.00	3.0	
MELLON/BANK OF NEW YORK	046	YHOO	B	13,800	24.45	n/a	n/a	552.00	0.0	

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**TOTAL (Trade Date):**

**73,344.49**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ARCP	S	2,500	15.60	n/a	n/a	75.00 3.0
AO,CRT	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ARCP	S	2,500	15.60	n/a	n/a	50.00 2.0
CRT	04/11	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	20,000	13.35	n/a	3-Apr	800.00 4.0
AO,CXL	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		CXW	S	17,500	40.74	n/a	n/a	700.00 4.0
AO,CRT	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		CXW	S	17,500	40.74	n/a	n/a	350.00 2.0
AO,CXL	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		TWTC	S	5,100	26.67	n/a	n/a	153.00 3.0
AO,CRT	04/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		TWTC	S	5,100	26.67	n/a	n/a	102.00 2.0

**TOTAL (AO, CXL, CRT) :****374.00**

TOTAL (Trade Date):

73,344.49

TOTAL (AO, CXL, CRT):

374.00

**TOTAL (RUN DATE) / NFS:****73,718.49**

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