



Daily Compliance Activity Report

Trade Date: 03/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ADBE	S	1,300	42.65	n/a	n/a	52.00	0.0
WILLIAMS TRADING/BLUE MTN	087	AIG	B	191,697	37.97	n/a	n/a	5,750.91	0.0
RAINIER INV MGMT	033	ANGI	B	42,040	18.87	n/a	n/a	1,681.60	0.0
NEW JERSEY DIV OF INV.	030	APC	S	20,000	86.92	n/a	21-Mar	800.00	4.0
VISIUM/BALY BOBBY	044	BHI	S	15,000	45.14	n/a	n/a	750.00	0.0
ROYCE TRADING	031	CROX	B	52,663	15.42	n/a	n/a	2,633.15	0.0
SANDLER O'NEILL ASSET	031	DFS	S	15,400	44.63	n/a	21-Mar	770.00	5.0
HIGHBRIDGE CAP	041	DK	B	19,000	39.82	n/a	n/a	570.00	3.0
NEW JERSEY DIV OF INV.	030	DLTR	S	20,000	46.56	n/a	1-Mar	600.00	3.0
BTG PACTUAL	040	DRI	SS	10,000	49.51	n/a	22-Mar	300.00	3.0
J. GOLDMAN	028	EMN	B	7,000	70.65	n/a	n/a	280.00	4.0
HIGHBRIDGE CAP	041	FCX	B	8,000	33.27	n/a	n/a	240.00	3.0
HIGHBRIDGE CAP	041	FTI	B	5,141	52.11	n/a	n/a	154.23	3.0
CASTLEROCK	040	F	SS	54,180	13.22	n/a	22-Mar	2,167.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	GIL	S	50,000	38.92	n/a	14-Mar	2,000.00	0.0
J. GOLDMAN	028	GM	S	7,500	28.33	n/a	22-Mar	300.00	4.0
ROSEDALE CAPITAL	046	GM	B	10,000	28.27	n/a	22-Mar	500.00	5.0
S.A.C. CAPITAL	044	GPS	B	30,000	35.73	n/a	n/a	900.00	3.0
YORK CAPITAL	036	HIG	B	250,000	26.28	n/a	n/a	7,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	65,000	45.18	n/a	18-Mar	3,250.00	5.0
SCOPUS FUND	041	IP	S	80,000	45.15	n/a	18-Mar	3,200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	46.25	n/a	6-Mar	1,500.00	3.0
CR INTRINSIC/CHRIS C	041	MAN	B	15,000	55.37	n/a	n/a	450.00	3.0
WILLIAMS TRADING/BLUE MTN	087	MCP	SS	163,954	5.75	n/a	n/a	4,918.62	0.0
PRIMECAP MGMT	084	MDT	S	5,200	45.90	n/a	n/a	208.00	0.0
EPOCH INV MGMT	030	MGAM	S	25,200	19.95	n/a	n/a	756.00	0.0
RIVERLOFT CAPITAL	044	MGM	B	50,000	13.11	n/a	13-Jun	1,500.00	3.0
J. GOLDMAN	028	M	SS	10,000	42.60	n/a	7-Mar	400.00	4.0
PRIMECAP MGMT	084	NKTR	B	1,800	10.86	n/a	n/a	72.00	0.0
MAIRS AND POWER INV	030	PFG	B	50,000	33.55	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	PH	C	47,300	92.04	n/a	n/a	1,419.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PIR	B	88,510	22.92	n/a	n/a	2,655.30 0.0
SAFRA ASSET MGMT.	040	ROK	B	5,000	85.85	n/a	n/a	150.00	3.0
WEISS PECK/ROBECO/BOSTON PT		040	ROST	C	2,600	58.08	n/a	22-Mar	130.00 0.0
MAIRS AND POWER INV	030	SLB	B	20,000	74.23	n/a	n/a	1,000.00	5.0
CASTLE ARK	031	TDC	S	208,250	57.02	n/a	n/a	10,412.50	0.0
COHE & STEERS	041	TOL	S	6,800	35.97	n/a	n/a	272.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VZ	S	166,646	49.05	n/a	n/a	5,332.67	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	30,400	30.85	n/a	22-Mar	1,520.00	5.0
TOTAL (Trade Date) :								69,595.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		ARCP	S	10,000	14.66	n/a	n/a	300.00 3.0
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		ARCP	S	10,000	14.66	n/a	n/a	200.00 2.0
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.65	n/a	n/a	150.00 3.0
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.64	n/a	n/a	150.00 3.0
AO,CXL	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.64	n/a	n/a	150.00 3.0
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.65	n/a	n/a	100.00 2.0
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.64	n/a	n/a	100.00 2.0
AO,CRT	03/21	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB) 251		NDZ	B	5,000	6.64	n/a	n/a	100.00 2.0
AO,CXL	03/21	MATRIX ASSET ADV. (MATXVALLMH)	091	OXY	B	1,000	78.64	n/a	n/a	0.00 0.0
AO,CRT	03/21	MATRIX ASSET ADV. (MATXVALLMH)	091	OXY	B	1,000	78.64	n/a	n/a	40.00 4.0
TOTAL (AO, CXL, CRT) :										-210.00
TOTAL (Trade Date):										69,595.18
TOTAL (AO, CXL, CRT):										-210.00
TOTAL (RUN DATE) / NFS:										69,385.18

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