



Daily Compliance Activity Report

Trade Date: 03/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ABG	B	25,000	35.28	n/a	20-Feb	1,000.00	4.0
SAC CAPITAL/M GRONET	030	AEO	S	40,000	20.41	n/a	2-Dec	1,200.00	3.0
BTG PACTUAL	040	ARCO	B	25,000	12.22	n/a	4-Mar	750.00	3.0
CASTLEROCK	040	ARCO	B	3,750	12.30	n/a	4-Mar	150.00	0.0
MILLENNIUM-NEW VERNON	031	AXE	B	27,500	69.30	n/a	5-Mar	1,650.00	6.0
BERYLSON CAPITAL	030	BONT	B	8,304	11.60	n/a	7-Mar	249.12	3.0
LISTED ERR	099	BONT	B	2	11.65	n/a	7-Mar	0.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040			CBB	B	600,000	3.12	n/a	n/a	18,000.00 3.0
COOPER CREEK PART	028	CNSI	SS	5,000	26.88	n/a	n/a	200.00	4.0
ADAGE CAPITAL MGMT	030	COH	S	120,000	49.09	n/a	27-Feb	3,600.00	3.0
S.A.C. CAPITAL	044	COST	B	20,000	103.32	n/a	n/a	600.00	3.0
LATEEF MGMT	033	DOW	B	300	32.51	n/a	n/a	39.00	13.0
LATEEF MGMT	033	DVN	B	800	55.44	n/a	7-Mar	90.00	12.5
LISTED ERR	099	FCS	B	3,000	14.29	n/a	n/a	0.00	0.0
LISTED ERR	099	FCS	S	3,000	14.28	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	FCX	S	3,000	32.98	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		FITB	B	50,000	16.19	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	FL	B	50,000	35.26	n/a	7-Mar	2,500.00	0.0
SCOPUS FUND	041	GPI	B	20,000	60.51	n/a	6-Mar	800.00	4.0
CR INTRINSIC/CHRIS C	041	GTLS	SS	5,000	80.94	n/a	n/a	150.00	3.0
DAVIDSON INV ADV	033	IPG	B	414,595	12.95	n/a	n/a	16,583.80	4.0
DELTEC ASSET MGMT.	040	IP	B	10,000	46.11	n/a	7-Mar	500.00	5.0
CR INTRINSIC/CHRIS C	041	JCI	B	25,000	33.37	n/a	7-Mar	750.00	3.0
LATEEF MGMT	033	JNJ	S	700	77.92	n/a	n/a	92.00	14.0
LATEEF MGMT	033	JPM	S	1,075	50.71	n/a	7-Mar	107.50	10.0
IMPALA ASSET MMT	040	KEX	S	39,000	75.11	n/a	n/a	1,950.00	5.0
IMPALA ASSET MMT	040	KNL	B	75,000	18.08	n/a	n/a	3,000.00	4.0
LOMAS CAPITAL	040	KORS	S	13,500	59.85	n/a	21-Feb	405.00	3.0
LATEEF MGMT	033	KR	S	350	30.35	n/a	n/a	35.00	10.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	36.89	n/a	7-Mar	750.00	5.0
FIRST NEW YORK	086	NOK	B	20,000	3.72	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	OEI	B	1,398	10.30	n/a	n/a	55.92	4.0
MATRIX ASSET ADV.	091	OXY	B	1,000	81.79	n/a	n/a	40.00	4.0
COHE & STEERS	041	O	B	6,618	45.90	n/a	n/a	264.72	0.0
SENATOR INVESTMENT GROUP	036	PAYX	SS	100,000	34.06	n/a	n/a	3,000.00	3.0
S.A.C. CAPITAL	044	PETM	S	15,000	62.25	n/a	n/a	450.00	3.0
GEORGE WEISS	278	RKT	S	5,000	89.21	n/a	7-Mar	200.00	0.0
LAKEWOOD CAPITAL MGMT	085	SVM	C	110,000	3.79	n/a	n/a	3,300.00	0.0
SYMPHONY ASSET	033	TLT	C	20,760	116.07	n/a	n/a	622.80	0.0
LATEEF MGMT	033	UAL	S	350	29.77	n/a	5-Mar	35.00	10.0
BNP PARIBAS SEC	040	UA	B	50,000	50.08	n/a	6-Mar	1,500.00	3.0
PARAMETER CAPITAL MGMT LLC	044	USB	B	40,500	34.02	n/a	n/a	1,215.00	3.0
FRED ALGER MGMT	070	WYNN	S	35,000	117.27	n/a	13-Jun	1,260.00	0.0
LATEEF MGMT	033	XOM	S	425	88.89	n/a	n/a	76.25	20.0
TOTAL (Trade Date):								69,621.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/07	SAC CAPITAL/M GRONET (SACJCSPB)	030	AEO	S	40,000	20.41	n/a	2-Dec	1200.00 3.0
AO,CXL	03/06	FIRST NY SEC/CHRIS (FNYCHRIS)	041	BBY	B	15,000	19.19	n/a	n/a	750.00 5.0
AO,CRT	03/06	FIRST NY SEC/CHRIS (FNYCHRIS)	041	BBY	B	15,000	19.19	n/a	n/a	450.00 3.0
AO,CXL	03/06	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SPLS	B	10,000	12.70	n/a	n/a	500.00 5.0
AO,CRT	03/06	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SPLS	B	10,000	12.70	n/a	n/a	300.00 3.0

TOTAL (AO, CXL, CRT) :**700.00**

TOTAL (Trade Date) :

69,621.11

TOTAL (AO, CXL, CRT) :

700.00

TOTAL (RUN DATE) / NFS :**70,321.11**

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