



Daily Compliance Activity Report

Trade Date: 03/28/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MITCHELL JAMES SPEIS	FID	AAPL	B	30	448.75	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	AAPL	B	2	1.89	n/a	n/a	0.00	0.0
BRONSON POINT	036	AYI	C	25,000	68.88	n/a	n/a	750.00	0.0
f CAROL ANNE LACHENAU	FID	BACPRD	B	34	25.36	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	BACPRD	B	58	25.35	n/a	n/a	0.00	0.0
LATEEF MGMT	033	BDN	S	1,800	14.84	n/a	n/a	180.00	10.0
f NICOLAS EVAN PAKLER	FID	BIPIX	B	146	136.87	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	CRI	SS	35,726	56.83	n/a	n/a	1,071.78	3.0
ROYCE TRADING	031	CROX	B	10,000	14.78	n/a	n/a	500.00	0.0
f MANNY I KORMAN	FID	CSCO	S	5000	20.87	n/a	26-Feb	0.00	0.0
AELTUS/ING INVESTMENT MGT	215	CTRP	B	105,000	22.00	n/a	n/a	3,150.00	0.0
f EDWARD W WHEELER	FID	CVGI	B	5300	7.64	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	CVO	B	3000	2.13	n/a	n/a	0.00	0.0
CAISSE DEPOT PLACEMENT Q	257	CY	B	30,000	11.11	n/a	n/a	900.00	3.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		CZR	B	25,000	15.88		n/a	n/a	750.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	DECK	B	1,750	55.78	n/a	n/a	70.00	4.0
f MANNY I KORMAN	FID	DLPH	B	7000	44.28	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	EMC	S	8000	23.88	n/a	26-Feb	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	FBN	B	1055	1.03	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FB	B	500	25.66	n/a	n/a	0.00	0.0
AAD CAPITAL	084	FIVE	SS	10,000	37.70	28-Mar	28-Mar	300.00	3.0
f MANNY I KORMAN	FID	FLR	B	5000	65.89	n/a	n/a	0.00	0.0
WAGONHOUND/NICOLAS	033	FOR	B	29,502	22.25	n/a	26-Mar	1,180.08	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	4481	1.00	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	F	B	100	0.02	n/a	28-Mar	0.00	0.0
f SERGEI BARANOVSKY	FID	GM	B	30	0.06	n/a	28-Mar	0.00	0.0
KAYNE ANDERSON ADV	084	HAE	B	25,000	41.62	n/a	n/a	1,000.00	0.0
f SERGEI BARANOVSKY	FID	HPQ	S	50	0.20	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	INTC	B	117	0.01	n/a	n/a	0.00	0.0
f ANDREW LONGLEY TRUS	FID	IXN	B	20	69.77	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CLIFFORD LON GLEY TR	FID	IXN	B	20	69.77	n/a	n/a	0.00	0.0
f	JONATHAN LON GLEY TR	FID	IXN	B	20	69.78	n/a	n/a	0.00	0.0
f	ANDREW LONGLE Y TRUS	FID	IYG	B	20	66.13	n/a	n/a	0.00	0.0
f	CLIFFORD LON GLEY TR	FID	IYG	B	20	66.13	n/a	n/a	0.00	0.0
f	JONATHAN LON GLEY TR	FID	IYG	B	20	66.13	n/a	n/a	0.00	0.0
f	ANDREW LONGLE Y TRUS	FID	IYJ	B	20	81.45	n/a	n/a	0.00	0.0
f	CLIFFORD LON GLEY TR	FID	IYJ	B	20	81.43	n/a	n/a	0.00	0.0
f	JONATHAN LON GLEY TR	FID	IYJ	B	20	81.45	n/a	n/a	0.00	0.0
	ADAGE CAPITAL MGMT	030	JWN	B	14,319	54.68	n/a	6-Mar	429.57	3.0
	S.A.C. CAPITAL	044	JWN	B	25,000	55.07	n/a	6-Mar	750.00	3.0
	BTG PACTUAL	040	KORS	S	10,000	56.85	n/a	12-Mar	300.00	3.0
	HOLLIS CAPITAL	033	LCC	B	5,000	16.95	n/a	27-Mar	250.00	5.0
	MILLRACE FUND LP	028	LEA	S	15,895	54.39	n/a	22-Mar	635.80	4.0
f	DOUGLAS ROGERS	FID	LGND	B	1500	26.64	n/a	n/a	0.00	0.0
f	DOUGLAS ROGERS	FID	LGND	B	500	26.58	n/a	n/a	0.00	0.0
	THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	MSPD		S	55,000	3.36	n/a	n/a	1,650.00	0.0
	NEWLAND CAPITAL MGT	025	MWA	B	10,000	5.93	n/a	n/a	300.00	3.0
	NOMURA/ANGEL LANE PRINCIPAL040	M		B	25,000	41.79	n/a	7-Mar	750.00	3.0
	GUGGENHEIM GLOBAL TRADING (GGT)251	NDZ		B	2,400	6.50	n/a	n/a	72.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	NKTR	B	1,500	10.94	n/a	n/a	60.00	0.0
NWQ INVESTMENT MGMT CO	084	NP	B	10,000	30.77	n/a	22-Feb	350.01	0.0
ASCEND PARTNERS	033	PVH	B	100,424	108.38	n/a	28-Mar	3,012.72	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	15,000	107.97	n/a	28-Mar	450.00	3.0
CAISSE DEPOT PLACEMENT Q	257	RFMD	S	75,000	5.24	n/a	n/a	3,750.00	5.0
BRONSON POINT	036	RIG	S	20,000	51.85	n/a	n/a	600.00	0.0
f EDWARD W WHEELER	FID	RUSHA	S	5000	24.32	n/a	n/a	0.00	0.0
TALPION LLC	040	SCSS	S	20,000	19.91	n/a	n/a	600.00	0.0
f MANNY I KORMAN	FID	SLMAP	S	120	50.00	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	S	10,000	7.22		n/a n/a	300.00	3.0
RIDGECREST INV MGMT LLC	028	TEX	S	10,000	34.36	n/a	n/a	400.00	4.0
RIDGECREST INV MGMT LLC	028	TGT	B	5,000	68.37	n/a	13-Mar	200.00	4.0
ADAGE CAPITAL MGMT	030	UA	B	5,200	51.30	n/a	27-Mar	156.00	3.0
J. GOLDMAN	028	UPS	B	10,000	85.67	n/a	n/a	400.00	4.0
f JONATHAN RICHARD HAR	FID	URBN	B	19	1.10	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	URI	B	5000	54.65	n/a	17-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALICE BEEBE LONGLEY	FID	WVALX	B	1295	38.61	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								25,267.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/27	FINDLAY PARK PART	085	CHD	S	25,000	63.36	n/a	28-Mar	2375.82 0.0
AO,CRT	03/27	FINDLAY PARK PART	085	CHD	S	24,660	63.36	n/a	28-Mar	2343.51 0.0
AO,CRT	03/27	FINDLAY PARK PART	085	CHD	S	340	63.36	n/a	28-Mar	32.31 0.0
AO,CRT	03/26	BAIRD INVESTMENT	047	CTRX	B	50	52.91	n/a	n/a	2.50 5.0
AO,CXL	03/26	BAIRD INVESTMENT	047	CTRX	B	50	52.91	n/a	n/a	0.05 0.1
AO,CRT	03/27	ADAGE CAPITAL MGMT	030	LULU	B	30,100	62.02	n/a	27-Mar	903.00 3.0
AO,CXL	03/27	ADAGE CAPITAL MGMT	030	LULU	B	30,100	62.02	n/a	27-Mar	903.00 3.0
TOTAL (AO, CXL, CRT) :										2.45

TOTAL (Trade Date) :	25,267.96
TOTAL (AO, CXL, CRT) :	2.45

TOTAL (RUN DATE) / NFS :	25,270.41
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 28-Mar.

FIVE

MRI Securities without Trade Activity on 28-Mar.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)