



## Daily Compliance Activity Report

Trade Date: 03/28/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                               | RR # | Symbol | B/S | Shares  | Price  | MRI   | Research | Comm. ¢/Shr. |            |
|---------------------------------------|------|--------|-----|---------|--------|-------|----------|--------------|------------|
| BRONSON POINT                         | 036  | AYI    | C   | 25,000  | 68.88  | n/a   | n/a      | 750.00       | 0.0        |
| LATEEF MGMT                           | 033  | BDN    | S   | 1,800   | 14.84  | n/a   | n/a      | 180.00       | 10.0       |
| 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        |
| AELTUS/ING IVESTMENT MGT              | 215  | CTRP   | B   | 105,000 | 22.00  | n/a   | n/a      | 3,150.00     | 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 LLC | 040  |        | CZR | B       | 25,000 | 15.88 | n/a      | n/a          | 750.00 3.0 |
| CAERUS GLOBAL                         | 041  | DECK   | B   | 1,750   | 55.78  | n/a   | n/a      | 70.00        | 4.0        |
| AAD CAPITAL                           | 084  | FIVE   | SS  | 10,000  | 37.70  | n/a   | 28-Mar   | 300.00       | 3.0        |
| WAGONHOUND/NICOLAS                    | 033  | FOR    | B   | 29,502  | 22.25  | n/a   | 26-Mar   | 1,180.08     | 0.0        |
| KAYNE ANDERSON ADV                    | 084  | HAE    | B   | 25,000  | 41.62  | n/a   | n/a      | 1,000.00     | 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        |

| Account                                     | RR # | Symbol | B/S  | Shares  | Price  | MRI  | Research | Comm.¢/Shr. |              |
|---|------|--------|------|---------|--------|------|----------|-------------|--------------|
| MILLRACE FUND LP                            | 028  | LEA    | S    | 15,895  | 54.39  | n/a  | 22-Mar   | 635.80      | 4.0          |
| 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          |
| 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 PRINCIPAL040              |      | 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          |
| TALPION LLC                                 | 040  | SCSS   | S    | 20,000  | 19.91  | n/a  | n/a      | 600.00      | 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          |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr.     |     |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| J. GOLDMAN                 | 028  | UPS    | B   | 10,000 | 85.67 | n/a | n/a      | 400.00           | 4.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |       |     |          | <b>25,267.96</b> |     |

**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 (FINDAMERS)   | 085  | CHD    | S   | 24,660 | 63.36 | n/a | 28-Mar   | 142.55 0.0  |
| AO,CRT                        | 03/27 | FINDLAY PARK PART (FINDAMERS)   | 085  | CHD    | S   | 24,660 | 63.36 | n/a | 28-Mar   | 2343.51 0.0 |
| AO,CXL                        | 03/27 | FINDLAY PARK PART (FINDRITAC)   | 085  | CHD    | S   | 340    | 63.36 | n/a | 28-Mar   | 2233.27 0.0 |
| AO,                           | 03/27 | FINDLAY PARK PART (FINDRITAC)   | 085  | CHD    | S   | 340    | 63.36 | n/a | 28-Mar   | 32.31 0.0   |
| AO,CXL                        | 03/26 | BAIRD INVESTMENT (BAIRBLCFB)    | 047  | CTRX   | B   | 50     | 52.91 | n/a | n/a      | 0.05 0.1    |
| AO,CRT                        | 03/26 | BAIRD INVESTMENT (BAIRBLCFB)    | 047  | CTRX   | B   | 50     | 52.91 | n/a | n/a      | 2.50 5.0    |
| AO,CRT                        | 03/27 | ADAGE CAPITAL MGMT (ADAGCSFB)   | 030  | LULU   | B   | 30,100 | 62.02 | n/a | 27-Mar   | 903.00 3.0  |
| AO,CXL                        | 03/27 | ADAGE CAPITAL MGMT (ADAGESHORT) | 030  | LULU   | B   | 30,100 | 62.02 | n/a | 27-Mar   | 903.00 3.0  |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                 |      |        |     |        |       |     |          | <b>2.45</b> |

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

|                                |                  |
|--------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>25,270.41</b> |
|--------------------------------|------------------|

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