



Daily Compliance Activity Report

Trade Date: 03/21/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ANN	SS	25,000	30.26	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	S	20,000	14.85		n/a	500.00	2.5
SIGMA CAPITAL ASSOCIATES	041	ARO	B	33,000	13.63	n/a	n/a	990.00	3.0
HEIGHTS CAPITAL	251	BECN	SS	38,412	38.77	n/a	n/a	1,536.48	0.0
COOPER CREEK PART	028	BONT	B	5,000	13.40	n/a	13-Mar	200.00	4.0
PORTER-ORLIN/ NC TO AMICI CAPITAL	044	CHK	B	135,100	21.05		n/a	5,404.00	4.0
HOPLITE MGMT	025	CHTR	B	2,803	102.49	n/a	n/a	112.12	0.0
BTG PACTUAL	040	COH	S	15,000	49.88	n/a	27-Feb	450.00	3.0
ROYCE TRADING	031	CROX	B	75,000	15.45	n/a	n/a	3,750.00	0.0
ROYCE TRADING	031	CSL	S	26,000	67.88	n/a	n/a	1,300.00	0.0
SENATOR INVESTMENT GROUP	036	CWH	B	200,000	23.05	n/a	n/a	6,000.00	3.0
PATRIOT STRATEGY PARTNERS	036	CWT	B	10,000	19.48	n/a	n/a	400.00	4.0
HOPLITE MGMT	025	DLTR	B	6,361	46.29	n/a	1-Mar	254.44	0.0
S.A.C. CAPITAL	044	EEM	SS	25,000	41.93	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	GES	SS	25,000	25.49	n/a	21-Mar	1,250.00	0.0
S.A.C. CAPITAL	044	GE	SS	75,000	23.45	n/a	n/a	2,250.00	3.0
GLENHILL CAPITAL	036	HNR	B	184,896	3.70	n/a	n/a	9,244.80	0.0
MFP INVESTORS	085	HRB	B	100,000	27.95	n/a	n/a	5,000.00	0.0
BALYASNY ASSET MGMT	044	HTZ	B	25,000	21.10	n/a	n/a	1,250.00	0.0
KOLVEN CAPITAL	025	IAU	S	1,900	15.71	n/a	n/a	57.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	44.86	n/a	18-Mar	750.00	5.0
BESSEMER INVESTMENT	085	ITW	B	175,000	62.95	n/a	n/a	7,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	15.88	n/a	6-Mar	1,500.00	3.0
SCOPUS FUND	041	KMT	B	5,000	40.10	n/a	n/a	200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	46.33	n/a	6-Mar	750.00	3.0
KOLVEN CAPITAL	025	LAMR	B	1,400	47.46	n/a	n/a	42.00	3.0
HOLLIS CAPITAL	033	LCC	B	10,000	17.00	n/a	5-Mar	500.00	5.0
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	250,000	16.98	n/a	5-Mar	10,000.00	4.0
WEXFORD CAPITAL	284	LEA	B	9,000	55.79	n/a	19-Mar	270.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LORL	B	5,000	59.99	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	031	LULU	SS	12,600	64.33	n/a	21-Mar	504.00	4.0
STRONG/MARK GRONET	030	MLI	B	2,334	54.06	n/a	1-Mar	93.36	0.0
HEIGHTS CAPITAL	251	MRC	B	46,890	32.10	n/a	n/a	1,875.60	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ	B	15,000	6.65		n/a	n/a	450.00 3.0
FIRST NEW YORK	086	NOK	B	20,000	3.44	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	ORCL	S	100,000	32.68	n/a	n/a	3,000.00	0.0
MATRIX ASSET ADV.	091	OXY	B	1,500	78.64	n/a	n/a	20.00	2.0
CR INTRINSIC/CHRIS C	041	PBI	SS	25,000	15.25	n/a	n/a	750.00	3.0
COUGAR TRADING	044	PLCE	SS	5,000	46.12	n/a	10-Jan	250.00	5.0
SEVEN LOCKS CAPITAL	025	STZ	S	9,990	46.74	n/a	28-Feb	299.70	3.0
SEVEN LOCKS CAPITAL	025	SVU	S	35,000	4.67	n/a	n/a	700.00	2.0
NEW JERSEY DIV OF INV.	030	TXI	S	10,000	65.38	n/a	n/a	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	UA	B	25,000	49.20	n/a	20-Mar	750.00	3.0
KAM ADVISORS LLC	041	VZ	C	38,700	48.60	n/a	n/a	1,161.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	72.98	n/a	22-Feb	750.00	3.0

TOTAL (Trade Date):

74,464.50

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/15	PATRIOT STRATEGY PARTNERS (PATRJPM)	036	KW	B	10,000	15.83	n/a	n/a	400.00 4.0
AO,CRT	03/15	PATRIOT STRATEGY PARTNERS (PATRJPM)	036	KW	B	10,000	15.83	n/a	n/a	500.00 5.0

TOTAL (AO, CXL, CRT) :	100.00
-------------------------------	---------------

TOTAL (Trade Date) :	74,464.50
TOTAL (AO, CXL, CRT) :	100.00

TOTAL (RUN DATE) / NFS:	74,564.50
--------------------------------	------------------

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