



Daily Compliance Activity Report

Trade Date: 04/03/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ABG	S	20,100	35.20	n/a	20-Feb	804.00	0.0
HIGHBRIDGE CAP	041	ADT	SS	8,381	45.25	n/a	n/a	251.43	3.0
PORTER-ORLIN/ NC TO AMICI CAPITAL	044	AGO	S	50,000	19.43		n/a	n/a	2,000.00 4.0
HIGHBRIDGE CAP	041	ALV	B	3,123	69.23	n/a	19-Mar	93.69	3.0
PRIMECAP MGMT	084	AMGN	S	5,000	105.50	n/a	n/a	200.00	0.0
MACELLUM CAPITAL	086	ANN	SS	73,000	28.91	n/a	n/a	2,190.00	3.0
SIGMA CAPITAL ASSOCIATES	041	ANN	SS	25,000	28.85	n/a	n/a	750.00	3.0
OSKIE CAPITAL MGMT	224	BBRY	B	35,000	15.16	n/a	n/a	1,750.00	5.0
S.A.C. CAPITAL	044	BBY	S	50,000	21.50	n/a	n/a	1,500.00	3.0
CR INTRINSIC/CHRIS C	041	BEAV	B	15,000	58.26	n/a	11-Mar	450.00	3.0
NEUBERGER BERMAN	036	CHD	S	2,600	64.17	n/a	1-Apr	104.00	0.0
CAMBIAR CAP	046	CRS	B	73,510	45.73	n/a	11-Mar	2,940.40	0.0
PAR CAPITAL	268	DAL	B	50,000	14.53	n/a	3-Apr	2,000.00	0.0
STELLIAM INV ADV	086	DAL	B	55,000	14.49	n/a	3-Apr	2,200.00	0.0
BRONSON POINT	036	DAN	B	50,000	16.89	n/a	19-Mar	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	SS	51,600	46.38	n/a	3-Apr	1,548.00	3.0
LEVIN CAPITAL STRATEGIES	041	ETN	B	209,869	59.16	n/a	3-Apr	6,296.07	0.0
ROARING BLUE LION MGMT	031	EXPR	B	12,130	17.39	n/a	n/a	485.20	4.0
BNP PARIBAS SEC	040	FB	S	50,000	26.14	n/a	n/a	1,500.00	3.0
ROSEDALE CAPITAL	046	FITB	S	25,000	15.91	n/a	n/a	1,000.00	4.0
ROARING BLUE LION MGMT	031	FL	B	5,650	33.26	n/a	3-Apr	226.00	4.0
NWQ INVESTMENT MGMT CO	084	FOR	S	726	21.75	n/a	26-Mar	25.41	0.0
HIGHBRIDGE CAP	041	FTI	S	11,685	52.99	n/a	n/a	350.55	3.0
DENVER INST. ADV	046	FULT	S	100,900	11.36	n/a	n/a	4,036.00	0.0
PARAMETER CAPITAL MGMT LLC	044	FULT	B	70,000	11.37	n/a	n/a	2,100.00	3.0
CASTLEROCK	040	F	SS	100,000	12.82	n/a	3-Apr	4,000.00	4.0
M&I FUNDS	047	GES	B	4,271	24.99	n/a	21-Mar	170.84	0.0
SAGE ASSET MGMT	025	GM	B	19,000	27.81	n/a	3-Apr	950.00	5.0
IRIDIAN ASSET MGMT.	036	HPQ	B	163,060	21.98	n/a	n/a	8,153.00	0.0
LIONEYE CAPITAL	040	HTSI	B	15,000	39.85	n/a	n/a	750.00	5.0
HIGHBRIDGE CAP	041	ITB	SS	22,000	22.70	n/a	n/a	440.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BTG PACTUAL	040	JBLU	B	15,000	6.35	n/a	3-Apr	450.00	3.0	
STELLIAM INV ADV	086	JBLU	B	50,000	6.22	n/a	3-Apr	1,000.00	0.0	
RIDGECREST INV MGMT LLC	028	LCC	B	6,000	15.63	n/a	3-Apr	180.00	0.0	
BRONSON POINT	036	LEA	B	25,000	54.53	n/a	3-Apr	750.00	0.0	
DC CAPITAL	044	LPX	B	50,000	19.80	n/a	3-Apr	2,000.00	4.0	
CASTLE ARK	031	MON	B	85,050	104.85	n/a	n/a	3,402.00	0.0	
HIGHBRIDGE CAP	041	MOS	B	8,942	58.46	n/a	n/a	268.26	3.0	
HIGHBRIDGE CAP	041	MTW	B	11,000	19.15	n/a	11-Jul	330.00	3.0	
ROYCE TRADING	031	MUX	S	100,000	2.59	n/a	n/a	1,000.00	0.0	
DELTEC ASSET MGMT.	040	M	S	12,500	42.17	n/a	7-Mar	625.00	5.0	
INVESCO	031	M	S	177,700	42.22	n/a	7-Mar	7,108.00	0.0	
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040		NIHD	B	130,100	4.72	n/a	n/a	2,602.00	2.0
FIRST NEW YORK	086	NOK	B	20,000	3.33	n/a	n/a	800.00	4.0	
HIGHBRIDGE CAP	041	OII	S	5,623	64.86	n/a	n/a	168.69	3.0	
LOMAS CAPITAL	040	PCAR	B	116,500	49.82	n/a	n/a	3,495.00	3.0	
ROARING BLUE LION MGMT	031	PLCE	B	7,710	45.92	n/a	26-Mar	308.40	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	RE	S	8,300	127.45	n/a	n/a	332.00	0.0
HIGHBRIDGE CAP	041	ROC	S	3,250	61.08	n/a	n/a	97.50	3.0
FIRST NY SEC/CHRIS	041	SBH	SS	10,000	29.26	n/a	n/a	300.00	3.0
BTG PACTUAL	040	SBUX	S	34,000	58.75	n/a	3-Apr	1,020.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			SCS	B	49,980	13.29	n/a	n/a	1,499.40 0.0
HIGHBRIDGE CAP	041	SHW	S	1,422	164.26	n/a	n/a	42.66	3.0
NEUBERGER BERMAN	036	SLH	S	7,300	55.71	n/a	n/a	292.00	0.0
CAPITAL RESEARCH GROUP		296	SWN	B	150,000	36.74	n/a 1-Apr	5,250.00	0.0
J. GOLDMAN	028	TGT	B	20,000	67.73	n/a	13-Mar	800.00	4.0
SAGE ASSET MGMT	025	TGT	SS	7,900	67.79	n/a	13-Mar	395.00	5.0
SCOPUS FUND	041	TREX	S	24,900	46.83	n/a	n/a	996.00	0.0
ROARING BLUE LION MGMT	031	TRLG	B	19,710	25.73	n/a	n/a	788.40	4.0
T. ROWE PRICE	243	TTC	B	10,000	45.33	n/a	n/a	400.00	0.0
HARVEST MGMT (JMP)	029	ULTA	SS	5,000	81.86	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	URI	S	5,000	50.90	n/a	17-Apr	150.00	3.0
IMPALA ASSET MMT	040	VLO	S	392,346	40.64	n/a	n/a	19,617.30	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	V	S	25,500	164.51	n/a	20-Mar	765.00	3.0
NEWLAND CAPITAL MGT	025	XME	B	10,000	37.49	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	XOM	B	10,750	90.42	n/a	n/a	322.50	3.0
TOTAL (Trade Date) :							108,919.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/02	LOMAS CAPITAL (LOMAJPM)	040	AXL	S	1,700	13.22	n/a	3-Apr	51.00 0.0
AO,	04/02	LOMAS CAPITAL (LOMACSFB)	040	AXL	S	22,800	13.22	n/a	3-Apr	684.00 0.0
AO,CXL	04/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	40,000	13.22	n/a	3-Apr	1600.00 0.0
AO,	04/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	40,000	13.22	n/a	3-Apr	1600.00 0.0
CRT	04/03	HIGHBRIDGE CAP (HIBCCSFB)	041	ITB	SS	22,000	22.70	n/a	n/a	440.00 2.0
AO,CXL	04/02	GABELLI FUNDS (GABEGEMAST)	025	MKC	S	15,000	72.67	n/a	n/a	750.00 0.0
AO,CRT	04/02	GABELLI FUNDS (GABEGEMAST)	025	MKC	S	15,000	72.67	n/a	n/a	450.00 3.0
AO,CXL	04/02	LOMAS CAPITAL (LOMAJPM)	040	MTB	S	900	102.29	n/a	n/a	0.00 0.0
AO,CRT	04/02	LOMAS CAPITAL (LOMAJPM)	040	MTB	S	900	102.29	n/a	n/a	27.00 3.0

TOTAL (AO, CXL, CRT) :	902.00
-------------------------------	---------------

TOTAL (Trade Date):	108,919.70
TOTAL (AO, CXL, CRT):	902.00

TOTAL (RUN DATE) / NFS:	109,821.70
--------------------------------	-------------------

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