



## Daily Compliance Activity Report

Trade Date: 03/08/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	070	AAPL	S	35,135	430.81	n/a	n/a	1,264.86	0.0
LAGRANGE CAP ADV	087	ABG	SS	10,000	35.64	n/a	20-Feb	500.00	5.0
PROSPECTOR PARTNERS LLC	036	ABT	S	10,000	34.59	n/a	n/a	400.00	4.0
CATAPULT	040	AGCO	B	18,838	53.64	n/a	n/a	753.52	0.0
CATAPULT	040	APD	B	17,100	88.73	n/a	n/a	684.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ARCP	B	42,496	14.15		n/a	n/a	1,274.88 3.0
WHITE PINE CAPITAL	030	BAC	B	25,600	12.11	n/a	7-Mar	1,280.00	0.0
BRONSON POINT	036	BBY	B	100,000	19.28	n/a	n/a	3,000.00	0.0
J. GOLDMAN	028	CCK	B	35,000	39.44	n/a	n/a	1,400.00	4.0
COOPER CREEK PART	028	CWH	B	10,000	22.09	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		CWH	B	15,300	21.93		n/a	n/a	459.00 3.0
WHITE PINE CAPITAL	030	C	B	6,425	45.99	n/a	7-Mar	321.25	0.0
CR INTRINSIC/CHRIS C	041	DAL	B	35,000	16.25	n/a	5-Mar	1,050.00	3.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	49.14	n/a	n/a	400.00	4.0
CAMBIAR CAP	046	FINL	B	30,000	18.26	n/a	6-Mar	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	046	FINL	B	25,000	17.85	n/a	6-Mar	1,000.00	0.0
LAGRANGE CAP ADV	087	FST	S	20,000	5.94	n/a	n/a	1,000.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GDI	B	1,400	74.65		n/a	n/a	56.00 4.0
VISIUM/BALY BOBBY	044	GM	B	25,000	28.03	n/a	6-Mar	1,250.00	0.0
BALYASNY ASSET MGMT	044	HTZ	S	20,000	20.74	n/a	n/a	1,000.00	0.0
LAGRANGE CAP ADV	087	HUN	SS	20,000	19.20	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	IPHI	B	5,500	10.32	n/a	n/a	275.00	0.0
ASCEND PARTNERS	033	IP	S	32,272	46.68	n/a	7-Mar	968.16	0.0
BRONSON POINT	036	KMT	C	25,000	42.54	n/a	n/a	750.00	0.0
IMPALA ASSET MMT	040	KNL	B	56,900	18.37	n/a	n/a	2,276.00	4.0
BASSWOOD PARTNERS	267	LEA	B	4,400	55.11	n/a	1-Mar	176.00	0.0
COLUMBIA PARTNERS	028	LNCO	B	5,319	39.80	n/a	n/a	212.76	0.0
RIVERLOFT CAPITAL	044	LYB	S	20,000	63.10	n/a	n/a	600.00	3.0
COOPER CREEK PART	028	MATX	SS	500	25.94	n/a	n/a	20.00	4.0
CASTLEROCK	040	MCD	B	7,500	98.43	n/a	8-Mar	300.00	0.0
MTB INV ADV	028	NATI	S	13,900	31.00	n/a	n/a	451.75	3.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT) 251	NNN	B	5,000	35.37		n/a	n/a	150.00	3.0
WHITE PINE CAPITAL	030	NPTN	B	5,600	5.36	n/a	n/a		280.00	0.0
BRONSON POINT	036	OXY	S	25,000	82.42	n/a	n/a		750.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	O	S	15,000	45.72		n/a	n/a	600.00	4.0
COLUMBUS CIRCLE	036	PCYC	B	3,700	94.33	n/a	n/a		148.00	0.0
S.A.C. CAPITAL	044	PKG	B	25,000	43.36	n/a	7-Mar		750.00	3.0
IVORY CAPITAL	084	RF	S	15,100	8.16	n/a	n/a		755.00	0.0
MERRILL ASSET/BLACKROCK	297	RHP	S	15,018	44.72	n/a	n/a		600.72	0.0
IVORY CAPITAL	084	ROST	B	44,300	56.15	n/a	7-Mar		2,215.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	B	50,000	58.79	n/a	1-Mar		1,500.00	3.0
CATAPULT	040	SIAL	SS	23,400	78.57	n/a	n/a		936.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	STKL	B	10,000	6.79		n/a	n/a	300.00	3.0
BALYASNY ASSET MGMT	044	UA	B	30,000	50.60	n/a	6-Mar		1,500.00	0.0
RK CAPTIAL MGMT	046	WWW	SS	20,000	43.31	n/a	n/a		1,000.00	5.0
FRED ALGER MGMT	070	WYNN	S	5,300	117.43	n/a	13-Jun		190.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	WY	S	15,000	30.26	n/a	8-Mar	450.00	3.0
<b>TOTAL (Trade Date):</b>								<b>37,848.70</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									37,848.70
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									37,848.70
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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