



Daily Compliance Activity Report

Trade Date: 03/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMAS CAPITAL	040	AXL	S	68,500	12.48	n/a	4-Mar	2,055.00	3.0
DELTEC ASSET MGMT.	040	BA	B	5,000	77.75	n/a	1-Mar	250.00	5.0
PARAMETER CAPITAL MGMT LLC	044	BDN	S	3,500	14.31	n/a	n/a	105.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BIG	S	14,500	33.85		n/a	n/a	435.00 3.0
BALYASNY ASSET MGMT	044	BONT	S	20,000	11.38	n/a	21-Feb	1,000.00	0.0
LAKEWOOD CAPITAL MGMT	085	BTX	C	15,000	3.79	n/a	n/a	450.00	0.0
ARMATURE CAPITAL	041	CBI	S	20,000	54.96	n/a	n/a	800.00	0.0
DELTEC ASSET MGMT.	040	COF	B	30,000	54.07	n/a	1-Mar	1,500.00	5.0
DELTEC ASSET MGMT.	040	COH	S	5,000	50.10	n/a	27-Feb	250.00	5.0
GALT INVESTMENT	041	CROX	S	25,000	15.01	n/a	n/a	1,250.00	5.0
ARMATURE CAPITAL	041	DE	B	50,000	89.64	n/a	11-Jul	2,000.00	0.0
SCOPUS FUND	041	DLPH	B	48,500	42.47	n/a	n/a	1,940.00	0.0
LATEEF MGMT	033	DVN	B	150	54.36	n/a	1-Mar	30.00	20.0
PATTEN & PATTEN	025	EWG	S	10,000	24.95	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	031	EXPR	B	39,950	18.54	n/a	n/a	1,598.00	4.0
PATTEN & PATTEN	025	EZU	B	5,000	33.60	n/a	n/a	250.00	5.0
HOLLIS CAPITAL	033	FCX	S	4,000	31.55	n/a	n/a	200.00	5.0
ROARING BLUE LION MGMT	031	FL	B	22,060	35.11	n/a	5-Mar	882.40	4.0
ADAGE CAPITAL MGMT	030	FNP	B	25,300	18.00	n/a	n/a	759.00	3.0
NOKOMIS PARTNERS	031	FXI	B	24,000	38.32	n/a	n/a	720.00	3.0
ARMATURE CAPITAL	041	F	B	350,000	12.97	n/a	4-Mar	14,000.00	0.0
GALT INVESTMENT	041	HOTT	S	20,000	10.85	n/a	n/a	1,000.00	5.0
SASCO	033	IP	S	10,040	45.05	n/a	1-Mar	351.40	0.0
ARMATURE CAPITAL	041	ITW	B	25,000	62.07	n/a	n/a	1,000.00	0.0
ARMATURE CAPITAL	041	JCI	SS	50,000	31.83	n/a	1-Mar	2,000.00	0.0
ARMATURE CAPITAL	041	JEC	B	20,000	50.02	n/a	n/a	800.00	0.0
J. GOLDMAN	028	KORS	S	20,000	60.63	n/a	21-Feb	800.00	0.0
LATEEF MGMT	033	KR	S	250	29.60	n/a	n/a	30.00	12.0
ELM RIDGE ADVISORS	044	KSS	B	67,300	46.42	n/a	1-Mar	2,692.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	LCC	B	10,000	13.94	n/a	5-Mar	500.00	5.0
STRONG/MARK GRONET	030	LCC	B	105,050	13.99	n/a	5-Mar	4,202.00	0.0
BRONSON POINT	036	LEA	B	25,000	53.80	n/a	1-Mar	750.00	0.0
IRIDIAN ASSET MGMT.	036	LSI	B	357,140	6.85	n/a	n/a	17,857.00	0.0
LISTED ERR	099	LSI	S	1,763	6.85	n/a	n/a	0.00	0.0
LISTED ERR	099	LVS	B	100	50.87	n/a	13-Jun	0.00	0.0
LISTED ERR	099	LVS	S	100	50.88	n/a	13-Jun	0.00	0.0
CASTLEROCK	040	MCD	SS	3,750	95.49	n/a	4-Mar	150.00	0.0
ACK ASSET	028	MLI	B	25,000	54.55	n/a	1-Mar	750.00	0.0
ARMATURE CAPITAL	041	NAV	B	50,000	24.62	n/a	11-Jul	2,000.00	0.0
ROSEDALE CAPITAL	046	PBCT	S	25,000	13.21	n/a	4-Feb	1,000.00	4.0
BALYASNY ASSET MGMT	044	PETM	SS	10,000	65.84	n/a	n/a	500.00	0.0
ROARING BLUE LION MGMT	031	PLCE	B	16,130	46.36	n/a	10-Jan	645.20	4.0
BASSWOOD PARTNERS	267	PNC	B	63,900	64.17	n/a	n/a	2,556.00	0.0
CR INTRINIC INVESTMENT	044	RPM	S	30,000	30.50	n/a	n/a	900.00	3.0
S.A.C. CAPITAL	044	SCSS	SS	20,000	17.10	n/a	n/a	600.00	3.0
JETSTREAM GLOBAL FUND LP	065	TEX	S	100,000	33.63	n/a	n/a	5,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	TGT	SS	80,000	66.53	n/a	1-Mar	2,400.00	0.0
J. GOLDMAN	028	TGT	SS	10,000	66.75	n/a	1-Mar	400.00	4.0
ROARING BLUE LION MGMT	031	TRLG	B	23,380	27.90	n/a	n/a	935.20	4.0
1798 CAP/LOMBARD ASSET	040	URI	B	17,500	55.16	n/a	17-Apr	875.00	0.0
ADAGE CAPITAL MGMT	030	WMT	S	170,000	73.66	n/a	22-Feb	5,100.00	0.0
KINGDON ASSET MGMT	041	WMT	B	35,000	73.87	n/a	22-Feb	1,400.00	0.0
BRONSON POINT	036	WY	B	50,000	30.37	n/a	1-Mar	1,500.00	0.0
TOTAL (Trade Date) :								89,668.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/04	CATAPULT/KGLT (KEYHMILLEN)	040	FCX	SS	23,000	31.09	n/a	n/a	920.00 4.0
AO,CXL	03/04	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	O	S	5,000	45.77	n/a	n/a	150.00 3.0	
AO,CRT	03/04	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	O	S	5,000	45.77	n/a	n/a	200.00 4.0	

TOTAL (AO, CXL, CRT) :**-870.00**

TOTAL (Trade Date) :**89,668.20****TOTAL (AO, CXL, CRT) :****-870.00**

TOTAL (RUN DATE) / NFS:**88,798.20**

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