



Daily Compliance Activity Report

Trade Date: 04/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	ACT	B	2,500	95.87	n/a	2-Apr	100.00	4.0
RAINIER INV MGMT	033	AME	S	34,480	41.53	n/a	n/a	1,379.20	0.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	60,000	13.40	n/a	n/a	1,800.00	3.0
BRONSON POINT	036	BBY	S	50,000	22.86	n/a	n/a	1,500.00	0.0
SYMPHONY ASSET	033	CF	C	10,560	189.68	n/a	n/a	316.80	0.0
RAINIER INV MGMT	033	CRS	S	56,620	45.65	n/a	11-Mar	2,264.80	0.0
BTG PACTUAL	040	DAL	B	25,000	14.80	n/a	3-Apr	750.00	3.0
CAERUS GLOBAL	041	DDC	S	1,870	16.26	n/a	n/a	74.80	4.0
SCOPUS FUND	041	DG	B	20,000	50.66	n/a	26-Mar	800.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	SS	25,000	46.26	n/a	3-Apr	750.00	3.0
COHE & STEERS	041	DRE	B	36,955	17.49	n/a	n/a	1,108.65	0.0
LATEEF MGMT	033	DRE	S	250	17.48	n/a	n/a	30.00	12.0
LEVIN CAPITAL STRATEGIES	041	ETN	B	6,500	58.98	n/a	3-Apr	195.00	0.0
CYRUS CAPITAL	025	EWV	SS	5,000	73.20	n/a	n/a	150.00	3.0
ROARING BLUE LION MGMT	031	F	SS	33,200	12.67	n/a	3-Apr	1,328.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CHARTER OAK	033	GLDD	B	25,000	7.00	n/a	n/a	500.00	0.0	
ASCEND PARTNERS	033	GM	S	99,345	27.66	n/a	3-Apr	2,980.35	0.0	
OZ MGMT	040	GM	SS	100,000	27.65	n/a	3-Apr	3,000.00	0.0	
ROYCE TRADING	031	GNTX	B	50,000	19.44	n/a	19-Mar	2,500.00	0.0	
CAERUS GLOBAL	041	HAIN	S	9,739	60.09	n/a	n/a	389.56	4.0	
MERRILL ASSET/BLACKROCK	297	HBHC	S	34,800	29.04	n/a	n/a	1,392.00	0.0	
MATRIX ASSET ADV.	091	JCI	B	2,000	33.19	n/a	27-Mar	80.00	4.0	
FIRST NY SEC/CHRIS	041	JCP	B	20,000	14.63	n/a	6-Mar	600.00	3.0	
BTG PACTUAL	040	KORS	SS	25,000	54.67	n/a	12-Mar	750.00	3.0	
J. GOLDMAN	028	KSS	SS	10,000	48.16	n/a	6-Mar	400.00	4.0	
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	47.78	n/a	6-Mar	750.00	3.0	
SIGMA CAPITAL ASSOCIATES	041	LTD	B	25,000	45.42	n/a	n/a	750.00	3.0	
ELM RIDGE ADVISORS	044	MBI	S	75,000	10.10	n/a	n/a	3,000.00	0.0	
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	36.30	n/a	26-Mar	200.00	4.0	
SAC CAPITAL/M GRONET	030	M	B	25,000	43.80	n/a	7-Mar	750.00	3.0	
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	NIHD	B	200,000	4.71	n/a	n/a	n/a	4,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	NOK	B	112,963	3.34	n/a	n/a	1,129.63	1.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	20,000	104.85	n/a	1-Apr	600.00	3.0
MERRILL ASSET/BLACKROCK	297	RHP	S	9,778	43.95	n/a	n/a	391.12	0.0
NEUBERGER BERMAN	036	SLH	S	1,000	54.85	n/a	n/a	40.00	0.0
IMPALA ASSET MMT	040	SNE	B	200,000	17.01	n/a	n/a	8,000.00	4.0
NEW JERSEY DIV OF INV.	030	TRW	B	20,000	54.03	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	040	WY	B	76,400	30.80	n/a	3-Apr	3,056.00	0.0
TOTAL (Trade Date) :								48,605.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/03	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	19.80	n/a	3-Apr	2000.00 4.0
AO,CRT	04/03	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	19.80	n/a	3-Apr	1500.00 3.0
CRT	04/04	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	25,000	43.80	n/a	7-Mar	750.00 3.0
AO,CXL	04/03	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.33	n/a	n/a	800.00 4.0
AO,CRT	04/03	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	3.33	n/a	n/a	600.00 3.0
AO,CXL	04/01	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	PCP	S	5,500	187.27	n/a	11-Mar	275.00 0.0
AO,	04/01	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	PCP	S	5,500	187.27	n/a	11-Mar	275.00 0.0
CRT	04/04	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS)	040	PVH	B	20,000	104.85	n/a	1-Apr	600.00 3.0
AO,	04/03	NEUBERGER BERMAN (NBER704486)	041	USTR	S	11,700	37.80	n/a	n/a	468.00 0.0
AO,CXL	04/03	NEWLAND CAPITAL MGT (NEWLGS)	025	XME	B	10,000	37.49	n/a	n/a	400.00 4.0
AO,CRT	04/03	NEWLAND CAPITAL MGT (NEWLGS)	025	XME	B	20,000	37.49	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										1,518.00
TOTAL (Trade Date):										48,605.91
TOTAL (AO, CXL, CRT):										1,518.00
TOTAL (RUN DATE) / NFS:										50,123.91

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