



Daily Compliance Activity Report

Trade Date: 03/12/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	150,000	3.68	n/a	n/a	3,000.00	2.0
NUVEEN - US BANCORP		030	ANN	B	13,514	31.14	n/a	n/a	608.14 0.0
LATEEF MGMT	033	ATI	S	150	32.38	n/a	11-Mar	30.00	20.0
LATEEF MGMT	033	BA	S	1,225	83.70	n/a	11-Mar	201.00	21.6
NEW JERSEY DIV OF INV.	030	BA	S	30,000	84.09	n/a	11-Mar	1,200.00	4.0
CAERUS GLOBAL	041	BBY	B	25,000	20.44	n/a	n/a	1,000.00	4.0
NUVEEN - US BANCORP		030	BC	B	6,236	34.63	n/a	n/a	280.63 0.0
LAKEWOOD CAPITAL MGMT	085	BIOS	SS	10,000	12.01	n/a	n/a	300.00	0.0
HIGHBRIDGE CAP	041	CF	S	1,000	207.74	n/a	n/a	30.00	3.0
BRIGADE CAPITAL MGMT	029	CHK	C	100,000	21.52	n/a	n/a	3,000.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH	028	CHMT	B	7,599	22.48	n/a	18-Feb	303.96	0.0
HIGHBRIDGE CAP	041	CLF	S	29,000	24.32	n/a	n/a	870.00	3.0
RIVERPARK CAPITAL	025	COH	B	34,100	49.69	n/a	27-Feb	1,335.70	4.2
LATEEF MGMT	033	DAL	S	300	16.14	n/a	5-Mar	30.00	10.0
HIGHBRIDGE CAP	041	DE	SS	2,750	91.14	n/a	11-Jul	82.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	FCX	B	30,000	34.08	n/a	n/a	900.00	3.0
MILLENNIUM-ICS-SAYAN GHOSH	028	FCX	B	29,577	34.02	n/a	n/a	1,183.08	0.0
EGS ASSOCIATES LP	091	GES	SS	5,000	27.24	n/a	12-Mar	250.00	5.0
RIDGECREST INV MGMT LLC	028	GES	SS	1,319	27.65	n/a	12-Mar	52.76	4.0
SYMPHONY ASSET	033	GES	SS	38,380	27.30	n/a	12-Mar	1,151.40	0.0
LAKESWOOD CAPITAL MGMT	085	HEK	SS	40,000	4.13	n/a	n/a	1,200.00	0.0
SANDLER CAPITAL	028	HFC	S	106,700	54.56	n/a	n/a	5,335.00	0.0
RIVERLOFT CAPITAL	044	IGT	S	20,000	17.20	n/a	13-Jun	600.00	3.0
NEW JERSEY DIV OF INV.	030	INGR	B	20,000	66.64	n/a	n/a	600.00	3.0
LATEEF MGMT	033	JNJ	S	150	78.46	n/a	n/a	30.00	20.0
LATEEF MGMT	033	JPM	S	200	50.21	n/a	11-Mar	40.00	20.0
IMPALA ASSET MMT	040	KNL	B	8,900	18.37	n/a	n/a	356.00	4.0
CASTLE ARK	031	KORS	B	114,500	55.59	n/a	12-Mar	5,725.00	0.0
CONIFER/FIRESTORM/BC	033	KORS	B	3,000	55.76	n/a	12-Mar	120.00	4.0
LATEEF MGMT	033	K	S	150	61.52	n/a	n/a	30.00	20.0
CENTURION PARTNERS	041	LNC	S	11,000	33.15	n/a	n/a	440.00	4.0
BRONSON POINT	036	MDP	S	25,000	36.89	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	MTW	B	13,000	19.98	n/a	11-Jul	390.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	90,000	36.66	n/a	12-Mar	4,500.00	5.0
MERRILL ASSET/BLACKROCK	297	NFP	B	31,400	20.13	n/a	n/a	1,256.00	0.0
NWQ INVESTMENT MGMT CO	084	NP	B	8,824	29.77	n/a	22-Feb	308.84	0.0
LATEEF MGMT	033	NUE	S	150	47.34	n/a	n/a	30.00	20.0
MILLENNIUM-ICS-SAYAN GHOSH028		NUE	S	21,008	47.44	n/a	n/a	840.32	0.0
LATEEF MGMT	033	OLN	S	450	24.17	n/a	n/a	45.00	10.0
PARKWEST	084	PAY	S	40,000	22.01	n/a	n/a	1,200.00	3.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	49.54	n/a	8-Mar	1,500.00	5.0
LATEEF MGMT	033	RDSB	B	150	67.84	n/a	n/a	30.00	20.0
MILLENNIUM-ICS-SAYAN GHOSH028		RIO	SS	28,800	51.75	n/a	n/a	1,152.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		RS	B	10,000	67.41	n/a	n/a	400.00	0.0
HIGHBRIDGE CAP	041	SDRL	SS	11,000	37.28	n/a	n/a	330.00	3.0
DPB CAPITAL	029	SIRI	S	5,000	3.20	n/a	n/a	250.00	5.0
LATEEF MGMT	033	SPLS	S	400	13.07	n/a	n/a	40.00	10.0
FARBER	085	SSI	B	16,500	26.79	n/a	12-Mar	660.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	SSI	B	24,776	26.43	n/a	12-Mar	991.04	4.0
MILLENNIUM-ICS-SAYAN GHOSH	028	STLD	S	31,726	15.71	n/a	n/a	1,269.04	0.0
SENATOR INVESTMENT GROUP	036	STZ	S	300,000	43.27	n/a	28-Feb	9,000.00	0.0
SPARTAN	093	SWN	S	12,000	37.68	n/a	7-Mar	360.00	3.0
LISTED ERR	099	TGT	B	5,000	67.24	n/a	1-Mar	0.00	0.0
LISTED ERR	099	TGT	S	5,000	67.25	n/a	1-Mar	0.00	0.0
LATEEF MGMT	033	UAL	S	300	30.18	n/a	12-Mar	30.00	10.0
NOMURA/ANGEL LANE PRINCIPAL	040	UA	B	25,000	49.00	n/a	12-Mar	750.00	3.0
CONIFER/FIRESTORM/BC	033	WFR	B	10,000	5.36	n/a	n/a	350.00	3.5
HIGHBRIDGE CAP	041	WLK	S	2,000	95.40	n/a	n/a	60.00	3.0
KEYGROUP/KGLT	040	WLL	S	25,000	50.19	n/a	n/a	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	30.31	n/a	8-Mar	2,500.00	5.0
HIGHBRIDGE CAP	041	XLB	B	13,500	39.96	n/a	n/a	270.00	2.0
LAKEWOOD CAPITAL MGMT	085	XL	S	10,000	29.76	n/a	n/a	300.00	0.0
HIGHBRIDGE CAP	041	XOM	SS	3,000	89.77	n/a	n/a	90.00	3.0
LATEEF MGMT	033	XOM	S	125	89.38	n/a	n/a	31.25	25.0
SCOPIA CAPITAL	091	XRX	S	100,000	8.56	n/a	n/a	3,000.00	0.0

TOTAL (Trade Date):

63,968.66

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/08	BRONSON POINT (BRONMS)	036	BBY	B	12,400	19.28	n/a	n/a	372.00 0.0
AO,	03/08	BRONSON POINT (BRONGS)	036	BBY	B	12,400	19.28	n/a	n/a	372.00 0.0
AO,CXL	03/11	GALT INVESTMENT (GALTGS)	041	HOTT	S	12,300	13.85	n/a	n/a	615.00 5.0
AO,CRT	03/11	GALT INVESTMENT (GALTGS)	041	HOTT	S	12,300	13.85	n/a	n/a	492.00 4.0
AO,CXL	03/11	DENVER INST. ADV (DENV1521)	084	ROST	B	408	56.21	n/a	7-Mar	20.40 0.0
AO,	03/11	HAHN CAPITAL MANAGEMENT (HAHNSPRAGF)	084	ROST	B	408	56.21	n/a	7-Mar	20.40 0.0
AO,	03/11	HAHN CAPITAL MANAGEMENT (HAHNBUEA)	084	ROST	B	96	56.21	n/a	7-Mar	4.80 0.0
AO,CXL	03/11	HAHN CAPITAL MANAGEMENT (HAHNMCMOOG)	084	ROST	B	96	56.21	n/a	7-Mar	4.80 0.0
CRT	03/12	HIGHBRIDGE CAP (HIBCCSFB)	041	XLB	B	13,500	39.96	n/a	n/a	270.00 2.0

TOTAL (AO, CXL, CRT) :	147.00
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TOTAL (Trade Date):	63,968.66
TOTAL (AO, CXL, CRT):	147.00

TOTAL (RUN DATE) / NFS:	64,115.66
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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