



Daily Compliance Activity Report

Trade Date: 03/20/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	33.60	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ARCP	S	10,000	14.65		n/a	n/a	300.00 3.0
WEXFORD CAPITAL	284	AXL	B	19,000	13.60	n/a	19-Mar	570.00	3.0
BASSWOOD PARTNERS	267	BAC	S	50,000	12.81	n/a	15-Mar	2,000.00	0.0
COOPER CREEK PART	028	BONT	B	1,000	13.32	n/a	13-Mar	40.00	4.0
NEW JERSEY DIV OF INV.	030	CAT	B	20,000	86.64	n/a	11-Jul	800.00	4.0
SCOPUS FUND	041	CCE	B	10,600	37.11	n/a	n/a	424.00	0.0
SCOPUS FUND	041	CHS	B	60,000	17.45	n/a	5-Feb	2,400.00	0.0
COLUMBUS CIRCLE	036	CLGX	S	3,452	25.72	n/a	n/a	138.08	0.0
CR INTRINIC INVESTMENT	044	COST	B	40,000	103.04	n/a	n/a	1,200.00	3.0
S.A.C. CAPITAL	044	COST	B	20,000	103.20	n/a	n/a	600.00	3.0
ROYCE TRADING	031	CROX	B	25,000	15.32	n/a	n/a	1,250.00	0.0
STATE TEACHERS RET SYS	047	CSCO	B	50,000	21.67	n/a	26-Feb	2,500.00	0.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	14.88	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	DPS	SS	30,000	45.48	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.			
HEIGHTS CAPITAL	251	EXPD	SS	21,971	37.15	n/a	n/a	878.84	0.0		
HEIGHTS CAPITAL	251	EXPD	S	2,480	37.16	n/a	n/a	99.20	0.0		
HEIGHTS CAPITAL	251	FDX	B	9,803	98.95	n/a	n/a	392.12	0.0		
PLATTE RIVER CAPITAL	046	FINL	B	52,330	18.75	n/a	20-Mar	2,093.20	0.0		
SCOPUS FUND	041	GES	B	78,000	26.61	n/a	12-Mar	3,120.00	0.0		
STATE TEACHERS RET SYS	047	GRA	B	21,000	78.36	n/a	n/a	1,050.00	0.0		
GLENHILL CAPITAL	036	HNR	B	141,100	3.53	n/a	n/a	7,055.00	5.0		
BESSEMER INVESTMENT	085	ITW	B	324,700	63.07	n/a	n/a	12,988.00	0.0		
ARMATURE CAPITAL	041	KBR	SS	10,000	31.48	n/a	n/a	400.00	0.0		
BALYASNY ASSET MGMT	044	KMB	C	72,000	95.57	n/a	28-Feb	3,600.00	0.0		
PEAK INV/OAKMONT/CYPRESS	084	LCC	B	350,000	16.97	n/a	5-Mar	14,000.00	0.0		
ROXBURY CAPITAL MGMT (HOOD RIVER CAP)			033	MLI	S	29,052	53.53	n/a	1-Mar	1,162.08	0.0
CAPITAL WORLD	084	MRK	S	500,000	44.22	n/a	n/a	17,500.00	0.0		
SHEFFIELD ASSET MGMT	031	MSFT	S	75,000	28.26	n/a	n/a	3,000.00	4.0		
CSFB GLOBAL PROPRIETARY	041	MWV	S	9,643	38.04	n/a	12-Mar	482.15	5.0		
PECONIC PARTNERS	036	M	C	109,200	42.70	n/a	7-Mar	5,460.00	0.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
GUGGENHEIM GLOBAL TRADING (GGT) 251		NDZ	B	5,000	6.65		n/a	n/a	150.00	3.0	
WEISS PECK/ROBECO/BOSTON PT		040	NR	S	50,000	8.99		n/a	n/a	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		OMPI		S	10,000	19.71		n/a	n/a	300.00	3.0
MATRIX ASSET ADV.	091	OXY	B	1,500	80.31		n/a	n/a	60.00	4.0	
MACELLUM CAPITAL	086	PERY	B	30,106	17.39		n/a	n/a	903.18	3.0	
CAERUS GLOBAL	041	PNRA	B	9,000	163.69		n/a	18-Mar	360.00	4.0	
RAINIER INV MGMT	033	RDEN		S	10,000	38.17		n/a	28-Feb	400.00	0.0
BALYASNY ASSET MGMT	044	RIO	C	50,000	47.57		n/a	n/a	2,500.00	0.0	
CR INTRINIC INVESTMENT	044	ROST		S	30,000	56.09		n/a	7-Mar	900.00	3.0
MATRIX ASSET ADV.	091	SLB	B	500	74.20		n/a	n/a	20.00	4.0	
HOLLIS CAPITAL	033	SSI	B	10,000	25.31		n/a	13-Mar	500.00	5.0	
ARMATURE CAPITAL	041	STR		SS	20,000	23.79		n/a	15-Apr	800.00	0.0
DSG CAPITAL	030	UPL	B	2,100	20.02		n/a	14-Mar	63.00	3.0	
SCOPUS FUND	041	URS	B	35,000	46.70		n/a	n/a	1,400.00	0.0	
CR INTRINSIC/CHRIS C	041	VC		S	25,000	57.88		n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CONIFER/FIRESTORM/BC	033	WFR	B	10,000	4.65	n/a	n/a	350.00	3.5
TOTAL (Trade Date):								98,658.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/20	S.A.C. CAPITAL (SACCJPM)	044	COST	B	20,000	103.20	n/a	n/a	600.00 3.0
AO,CXL	03/19	SANDLER O'NEILL ASSET (SANOJPMBS)	031	LAZ	B	11,200	35.49	n/a	7-Mar	560.00 5.0
AO,CRT	03/19	SANDLER O'NEILL ASSET (SANO)	031	LAZ	B	11,200	35.49	n/a	7-Mar	560.00 5.0

TOTAL (AO, CXL, CRT) :	600.00
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TOTAL (Trade Date) :	98,658.85
TOTAL (AO, CXL, CRT) :	600.00

TOTAL (RUN DATE) / NFS :	99,258.85
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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