



Daily Compliance Activity Report

Trade Date: 04/15/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AAP	S	35,000	80.52	n/a	n/a	1,050.00	0.0
LATEEF MGMT	033	AA	B	1,600	8.03	n/a	n/a	135.00	9.0
MERRILL ASSET/BLACKROCK	297	AJG	B	27,700	42.07	n/a	n/a	1,108.00	0.0
LATEEF MGMT	033	BBT	S	125	30.39	n/a	n/a	25.00	20.0
1798 CAP/LOMBARD ASSET	040	BTU	S	365,000	19.49	n/a	n/a	18,250.00	0.0
SOROS	036	CA	B	166,666	24.76	n/a	n/a	6,666.64	0.0
LISTED ERR	099	CA	S	6,407	24.66	n/a	n/a	0.00	0.0
AELTUS/ING INVESTMENT MGT	215	CBS	S	38,990	46.16	n/a	n/a	1,169.70	0.0
LATEEF MGMT	033	CCK	S	100	40.06	n/a	n/a	30.00	30.0
PROSPECTOR PARTNERS LLC	036	CNA	B	10,000	32.77	n/a	n/a	400.00	4.0
BRONSON POINT	036	CTB	C	50,000	24.24	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	CVS	S	100	56.67	n/a	n/a	30.00	30.0
PAR CAPITAL	268	DAL	B	50,000	14.97	n/a	15-Apr	2,000.00	0.0
COHE & STEERS	041	DLR	B	101,798	70.70	n/a	n/a	4,071.92	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	B	10,000	10.86	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DVN	S	250	53.20	n/a	8-Apr	45.00	18.0
MATRIX ASSET ADV.	091	EMR	B	1,500	53.66	n/a	n/a	60.00	4.0
OMEGA ADVISORS	041	FCX	S	1,015,000	29.94	n/a	n/a	40,600.00	4.0
NEUBERGER BERMAN	036	FELE	B	8,400	30.11	n/a	n/a	336.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,000	18.74	n/a	10-Apr	1,000.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FINL	S	18,250	19.06	n/a	10-Apr	547.50	0.0
CR INTRINIC INVESTMENT	044	FL	B	10,000	34.15	n/a	10-Apr	300.00	3.0
MACELLUM CAPITAL	086	FL	B	61,000	33.85	n/a	10-Apr	1,830.00	0.0
LATEEF MGMT	033	GIS	S	500	49.12	n/a	n/a	82.00	21.5
SCOPUS FUND	041	GM	S	25,000	29.25	n/a	15-Apr	1,000.00	4.0
J. GOLDMAN	028	HUN	SS	12,000	17.66	n/a	n/a	480.00	4.0
DELTEC ASSET MGMT.	040	IP	B	5,000	45.76	n/a	15-Apr	250.00	5.0
MOORE CAPITAL	257	IP	B	100,000	46.75	n/a	15-Apr	3,000.00	0.0
PRIMECAP MGMT	084	IP	S	4,000	45.31	n/a	15-Apr	160.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	75,000	14.51	n/a	15-Apr	3,750.00	0.0
CASTLEROCK	040	JCP	B	28,077	14.51	n/a	15-Apr	1,123.08	4.0
EGS ASSOCIATES LP	091	JCP	B	5,000	14.71	n/a	15-Apr	250.00	5.0
SOROS	036	JCP	B	250,000	14.98	n/a	15-Apr	10,000.00	0.0
LATEEF MGMT	033	KR	S	325	32.81	n/a	n/a	32.50	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	KS	B	30,000	26.54	n/a	n/a	900.00	0.0
BRONSON POINT	036	LEA	B	25,000	52.84	n/a	3-Apr	750.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	LNKD	B	5,220	179.32		n/a n/a	208.80	4.0
CR INTRINIC INVESTMENT	044	LOW	B	10,000	38.11	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	18.12	n/a	12-Apr	2,000.00	0.0
DC CAPITAL	044	LPX	B	220,000	18.26	n/a	12-Apr	8,800.00	0.0
SMITH MGMT/ALDEN GLOBAL		029 LPX	S	500,000	18.39		n/a 12-Apr	15,000.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	60,000	21.56	n/a	5-Apr	3,000.00	5.0
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	30,000	7.19	n/a	n/a	900.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	PBY	SS	30,000	11.35	n/a	n/a	900.00	3.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	20,000	51.74	n/a	12-Apr	1,000.00	5.0
LATEEF MGMT	033	PFE	S	125	30.65	n/a	n/a	25.00	20.0
LATEEF MGMT	033	PG	S	300	79.93	n/a	1-Apr	45.00	15.0
SCOPUS FUND	041	PPG	B	7,100	134.60	n/a	n/a	284.00	4.0
LATEEF MGMT	033	SPLS	S	450	13.24	n/a	n/a	60.00	13.5
LEVIN CAPITAL STRATEGIES	041	SSI	SS	15,000	27.29	n/a	11-Apr	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARKWEST	084	SWHC	B	212,888	8.62	n/a	n/a	6,386.64	3.0
SOROS	036	S	B	800,000	7.11	n/a	n/a	16,000.00	0.0
JETSTREAM GLOBAL FUND LP	065	TEX	B	20,000	28.27	n/a	n/a	1,000.00	0.0
LATEEF MGMT	033	TGT	S	2,200	68.74	n/a	13-Mar	255.50	14.5
CAISSE DEPOT PLACEMENT Q	257	TTWO	B	25,000	14.87	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	30.65	n/a	12-Apr	1,250.00	5.0
TOTAL (Trade Date):								162,447.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ARCP	S	12,500	16.52	n/a	n/a	375.00	3.0
AO,CRT	04/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ARCP	S	12,500	16.52	n/a	n/a	250.00	2.0
AO,CRT	04/12	S.A.C. CAPITAL (SACCCITG)	044	FDO	S	30,000	60.45	n/a	10-Apr	900.00	3.0
AO,CXL	04/11	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)040		NIHD	S	30,000	7.00	n/a	n/a	900.00	3.0
AO,CRT	04/11	PROVIDENCE EQUITY CAP. MKTS. (PECMJPM)040		NIHD	S	30,000	7.00	n/a	n/a	600.00	2.0
AO,CXL	04/10	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	SWI	B	9,900	53.99	n/a	n/a	495.00	5.0
AO,CRT	04/10	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	SWI	B	9,900	53.99	n/a	n/a	297.00	3.0
AO,CXL	04/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		TWTC	S	7,500	26.98	n/a	n/a	225.00	3.0
AO,CRT	04/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		TWTC	S	7,500	26.98	n/a	n/a	150.00	2.0

TOTAL (AO, CXL, CRT) :**202.00**

TOTAL (Trade Date) :

162,447.28

TOTAL (AO, CXL, CRT) :

202.00

TOTAL (RUN DATE) / NFS :**162,649.28**

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