



Daily Compliance Activity Report

Trade Date: 02/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERGREEN	047	AEM	B	10,000	40.09	n/a	n/a	400.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	47.71	n/a	n/a	1,500.00	3.0
S.A.C. CAPITAL	044	ARUN	SS	20,000	24.88	n/a	n/a	600.00	3.0
LOMAS CAPITAL	040	AXL	B	54,000	12.27	n/a	21-Feb	1,620.00	3.0
NEUBERGER BERMAN	036	BKU	B	7,500	27.55	n/a	n/a	300.00	0.0
NEUBERGER BERMAN	036	BOH	B	12,700	48.99	n/a	n/a	508.00	0.0
NEUBERGER BERMAN	036	BOKF	B	6,792	59.40	n/a	n/a	271.68	0.0
BERYLSON CAPITAL	030	BONT	B	18,200	10.48	n/a	21-Feb	546.00	3.0
NEUBERGER BERMAN	036	BRKL	B	12,600	9.12	n/a	n/a	252.00	0.0
BRONSON POINT	036	CBS	B	25,000	43.20	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	CBU	B	8,100	28.87	n/a	n/a	324.00	0.0
HIGHBRIDGE CAP	041	CHRW	B	7,000	58.12	n/a	n/a	210.00	3.0
BASSWOOD PARTNERS	267	COF	B	46,100	52.14	n/a	22-Feb	1,844.00	0.0
Õ Nilsa Vazquez		CRUS	S	400	25.5920	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	CTB	S	500	25.19	n/a	n/a	50.00	10.0
CASTLEROCK	040	DRI	B	24,219	46.11	n/a	22-Feb	968.76	4.0
OZ MGMT	040	DRI	S	50,000	46.13	n/a	22-Feb	1,500.00	0.0
EVERGREEN	047	DVN	B	4,300	54.88	n/a	21-Feb	172.00	0.0
CAMBIAR CAP	046	FINL	B	117,296	18.41	n/a	20-Feb	4,691.84	0.0
BALYASNY ASSET MGMT	044	FRAN	S	25,000	24.26	n/a	n/a	1,250.00	0.0
CASTLEROCK	040	F	B	41,693	12.41	n/a	21-Feb	1,667.72	4.0
BRIGADE CAPITAL MGMT	029	GM	B	500,000	27.09	n/a	21-Feb	15,000.00	0.0
DECADE CAPITAL CHRIS C	041	GWR	B	2,874	86.77	n/a	n/a	114.96	0.0
J. GOLDMAN	028	HBI	B	22,500	38.69	n/a	6-Feb	900.00	4.0
NOKOMIS PARTNERS	031	HD	B	27,000	64.98	n/a	n/a	810.00	3.0
DECADE CAPITAL CHRIS C	041	IPI	B	15,385	19.55	n/a	n/a	615.40	0.0
OZ MGMT	040	IP	S	13,901	42.63	n/a	22-Feb	417.03	0.0
LATEEF MGMT	033	KR	S	500	28.71	n/a	n/a	50.00	10.0
NEUBERGER BERMAN	036	LDR	S	1,540	58.69	n/a	n/a	61.60	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	117,000	53.97	n/a	12-Feb	3,510.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	LPX	B	12,000	21.39	n/a	22-Feb	360.00	3.0
GEORGE WEISS	278	MCD	S	36,600	94.93	n/a	8-Feb	1,464.00	0.0
DECADE CAPITAL CHRIS C	041	MLM	SS	5,300	97.99	n/a	n/a	212.00	0.0
HIGHBRIDGE CAP	041	MTW	B	40,500	18.72	n/a	11-Jul	1,215.00	3.0
LOMAS CAPITAL	040	MWV	B	19,000	35.03	n/a	19-Feb	570.00	3.0
NEUBERGER BERMAN	036	OZRK	B	7,143	38.48	n/a	n/a	285.72	0.0
DELTEC ASSET MGMT.	040	RKT	S	26,775	86.35	n/a	22-Feb	1,338.75	5.0
LISTED ERR	099	RKT	B	75	86.00	n/a	22-Feb	0.00	0.0
LISTED ERR	099	RKT	S	75	86.35	n/a	22-Feb	0.00	0.0
DECADE CAPITAL CHRIS C	041	SWC	B	5,152	12.88	n/a	n/a	206.08	0.0
DECADE CAPITAL CHRIS C	041	SYT	SS	3,152	84.27	n/a	n/a	126.08	0.0
NEW JERSEY DIV OF INV.	030	TE	S	40,000	17.11	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	TTS	B	19,700	17.96	n/a	n/a	788.00	0.0
DENVER INST. ADV	046	TUMI	B	30,300	22.83	n/a	n/a	1,212.00	0.0
DECADE CAPITAL CHRIS C	041	TWI	S	10,000	25.42	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	TYL	B	10,001	55.81	n/a	n/a	400.04	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	UFS	B	10,000	75.63	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	USG	S	34,886	27.62	n/a	6-Feb	1,046.58	3.0
DECADE CAPITAL CHRIS C	041	VMC	B	10,000	52.00	n/a	n/a	400.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	SS	3,988	87.77	n/a	n/a	159.52	0.0
S.A.C. CAPITAL	044	WSM	SS	20,000	45.38	n/a	n/a	600.00	3.0
LATEEF MGMT	033	XOM	S	250	88.55	n/a	n/a	45.00	18.0
TOTAL (Trade Date) :								53,733.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	02/22	CASTLEROCK (CASTUBS)	040	DRI	B	21,796	46.11	n/a 22-Feb	871.84 4.0

TOTAL (AO, CXL, CRT) :**871.84**

TOTAL (Trade Date) :**53,733.76****TOTAL (AO, CXL, CRT) :****871.84**

TOTAL (RUN DATE) / NFS:**54,605.60**

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