



Daily Compliance Activity Report

Trade Date: 01/28/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ABG	B	25,000	34.43	n/a	10-Jan	1,000.00	4.0
ESENCIAL CAPITAL	031	ALV	SS	4,000	66.84	n/a	28-Jan	80.00	0.0
MILLRACE FUND LP	028	ALV	SS	4,000	66.70	n/a	28-Jan	160.00	4.0
WOOSTER CAPITAL	044	ALV	SS	10,000	67.08	n/a	28-Jan	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	25,000	49.93	n/a	n/a	875.00	3.5
DEVENNY CAP LLC/MILLENIU	044	ATI	B	10,000	29.85	n/a	28-Jan	300.00	0.0
MERRILL ASSET/BLACKROCK	297	BANR	S	4,900	30.05	n/a	n/a	196.00	0.0
NEUBERGER BERMAN	036	BA	B	10,000	74.29	n/a	24-Jan	400.00	0.0
TROUBH PART	070	BHP	SS	10,000	77.38	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	BONT	B	15,197	12.99	n/a	24-Jan	759.85	0.0
CR INTRINIC INVESTMENT	044	CCK	B	1,400	38.27	n/a	n/a	49.00	3.5
FRONTIER	029	CCK	S	85,030	38.23	n/a	n/a	3,401.20	0.0
COLUMBUS CIRCLE	036	CLGX	S	6,419	26.21	n/a	n/a	256.76	0.0
LATEEF MGMT	033	CMCSK	S	325	38.24	n/a	n/a	35.75	11.0
BASSWOOD PARTNERS	267	COF	B	19,800	56.06	n/a	25-Jan	792.00	0.0
COLUMBUS CIRCLE	036	CSGP	B	684	95.32	n/a	n/a	27.36	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HEIGHTS CAPITAL	251	CSX	B	213,297	22.29	n/a	n/a	8,531.88	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	33.34	n/a	n/a	400.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	CZR	B	13,812	7.98	n/a	n/a	414.36	3.0
LATEEF MGMT	033	DE	S	325	93.88	n/a	11-Jul	87.50	27.5
CATAPULT/KGLT	040	EGN	B	25,000	47.45	n/a	n/a	1,000.00	0.0
HIGHBRIDGE CAP	041	EMN	S	1,850	71.39	n/a	n/a	55.50	3.0
SCOUT/UMB	047	FDO	S	17,942	58.01	n/a	4-Jan	538.26	0.0
LATEEF MGMT	033	FMER	B	250	14.98	n/a	n/a	27.50	11.0
PERIMETER	273	FTNT	B	2,402	20.95	n/a	n/a	72.06	0.0
CASTLEROCK	040	F	SS	78,631	13.72	n/a	28-Jan	3,145.24	4.0
DEVENNY CAP LLC/MILLENIUM	044	F	SS	10,000	13.77	n/a	28-Jan	300.00	0.0
FIRST NY SEC/CHRIS	041	F	B	18,000	13.75	n/a	28-Jan	900.00	5.0
TRELLUS PARTNERS LP	028	F	SS	20,000	13.77	n/a	28-Jan	600.00	0.0
WOOSTER CAPITAL	044	F	SS	100,000	13.74	n/a	28-Jan	4,000.00	4.0
HEIGHTS CAPITAL	251	HON	S	28,077	68.89	n/a	25-Jan	1,123.08	0.0
NEUBERGER BERMAN	036	H	B	10,000	40.50	n/a	13-Jun	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	41.94	n/a	17-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
NOMURA/ANGEL LANE PRINCIPAL	040	IP	S	20,000	41.98	n/a	17-Jan	600.00	3.0	
HIGHBRIDGE CAP	041	ITB	SS	11,000	23.32	n/a	n/a	220.00	2.0	
HEIGHTS CAPITAL	251	JBHT	SS	96,340	67.73	n/a	n/a	3,853.60	0.0	
TROUBH PART	070	JCP	S	5,000	18.88	n/a	14-Jan	250.00	5.0	
HIGHBRIDGE CAP	041	KMT	S	12,500	41.11	n/a	n/a	375.00	3.0	
BALYASNY ASSET MGMT	044	LOW	SS	25,000	38.38	n/a	n/a	1,250.00	0.0	
HIGHBRIDGE CAP	041	LYB	S	4,250	60.97	n/a	n/a	127.50	3.0	
CAPITAL RESEARCH GROUP	296	MAT	S	258,402	36.98		n/a	n/a	9,044.07	0.0
NEWLAND CAPITAL MGT	025	MLHR	S	10,000	24.07	n/a	n/a	400.00	4.0	
LATEEF MGMT	033	MSFT	B	150	27.99	n/a	n/a	30.00	20.0	
NEUBERGER BERMAN	036	NFG	B	10,000	54.06	n/a	n/a	400.00	0.0	
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	31.04	n/a	25-Jan	400.00	4.0	
LATEEF MGMT	033	NYCB	S	450	13.17	n/a	24-Oct	45.00	10.0	
HIGHBRIDGE CAP	041	OIH	B	23,500	43.44	n/a	n/a	470.00	2.0	
TRUSTCO/SUNTRUST (CEREDEX)	273	O	S	30,000	44.06	n/a	n/a	960.00	0.0	
SCOPUS FUND	041	PAG	B	15,000	32.54	n/a	5-Nov	600.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	PFE	B	15,000	26.98	n/a	n/a	600.00	0.0
LATEEF MGMT	033	PG	S	150	73.95	n/a	28-Jan	37.50	25.0
1798 CAP/LOMBARD ASSET	040	PNRA	B	5,000	161.30	n/a	28-Jan	250.00	0.0
DEVENNY CAP LLC/MILLENIU	044	PPG	B	1,000	138.25	n/a	18-Jan	30.00	0.0
HEIGHTS CAPITAL	251	RTN	B	41,113	55.48	n/a	15-Jan	1,644.52	0.0
OHIO PERS	047	RVBD	S	70,000	20.42	n/a	n/a	2,100.00	0.0
HIGHBRIDGE CAP	041	SDRL	S	6,500	39.08	n/a	n/a	195.00	3.0
FARALLON CAP MGMT	040	SWHC	B	120,000	8.90	n/a	n/a	2,400.00	2.0
LATEEF MGMT	033	T	B	200	34.19	n/a	n/a	30.00	15.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	50,000	43.05	n/a	n/a	1,750.00	0.0
SURVEYOR CAPITAL	251	URBN	B	35,000	43.04	n/a	n/a	1,050.00	0.0
HIGHBRIDGE CAP	041	URI	S	2,500	51.37	n/a	17-Apr	75.00	3.0
ARSENAL ASSET MANAGEMENT	028	WHR	SS	5,000	109.21	n/a	n/a	200.00	0.0
HIGHBRIDGE CAP	041	WLK	S	1,500	87.93	n/a	n/a	45.00	3.0
GLOBAL 56 LLC	060	WU	B	5,000	14.01	n/a	n/a	250.00	5.0
HIGHBRIDGE CAP	041	XLB	SS	19,500	39.37	n/a	n/a	390.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	XLU	B	21,000	36.24	n/a	n/a	420.00	2.0
HIGHBRIDGE CAP	041	XOM	B	2,750	90.95	n/a	n/a	82.50	3.0
BALYASNY ASSET MGMT	044	YUM	C	15,000	63.31	n/a	28-Jan	750.00	0.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	22.49	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :								63,402.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/25	SCOPUS FUND (SCOPMLCO)	041	KMX	S	43,000	39.45	n/a	n/a	0.00	0.0
AO,	01/25	SCOPUS FUND (SCOPMLCO)	041	KMX	S	43,000	39.45	n/a	n/a	1720.00	0.0
AO,CXL	01/25	SCOPUS FUND (SCOPGS)	041	KMX	S	7,000	39.45	n/a	n/a	0.00	0.0
AO,	01/25	SCOPUS FUND (SCOPGS)	041	KMX	S	7,000	39.45	n/a	n/a	280.00	0.0
AO,	01/25	PAR CAPITAL (PARCUBS)	268	PBF	B	12,500	29.90	n/a	n/a	500.00	0.0
AO,	01/25	PAR CAPITAL (PARCMS)	268	PBF	B	22,500	29.90	n/a	n/a	900.00	0.0
AO,CXL	01/25	PAR CAPITAL (PARCFID0)	268	PBF	B	12,500	29.90	n/a	n/a	500.00	0.0
AO,CXL	01/25	PAR CAPITAL (PARCFID0)	268	PBF	B	22,500	29.90	n/a	n/a	900.00	0.0
CRT	01/28	GLOBAL 56 LLC (GLOBJEFF)	060	WU	B	5,000	14.01	n/a	n/a	250.00	5.0

TOTAL (AO, CXL, CRT) :	2,250.00
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TOTAL (Trade Date) :	63,402.99
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TOTAL (AO, CXL, CRT) :	2,250.00
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TOTAL (RUN DATE) / NFS :	65,652.99
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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