



Daily Compliance Activity Report

Trade Date: 02/21/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	ANF	S	75,000	48.57	n/a	n/a	3,750.00	0.0
S.A.C. CAPITAL	044	ANF	B	20,000	50.18	n/a	n/a	600.00	3.0
DC CAPITAL	044	ATI	B	50,000	30.86	n/a	28-Jan	2,000.00	4.0
DEVENNY CAP LLC/MILLENIU	044	AXL	SS	7,667	12.10	n/a	21-Feb	230.01	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	12.02	n/a	21-Feb	400.00	4.0
SAGE ASSET MGMT	025	AXL	S	87,800	12.15	n/a	21-Feb	4,390.00	5.0
NEUBERGER BERMAN	036	BKU	B	11,099	27.37	n/a	n/a	443.96	0.0
NEUBERGER BERMAN	036	BOH	B	18,221	48.74	n/a	n/a	728.84	0.0
NEUBERGER BERMAN	036	BOKF	B	7,983	58.73	n/a	n/a	319.32	0.0
NEUBERGER BERMAN	036	BRKL	B	17,400	9.08	n/a	n/a	348.00	0.0
CASTLEROCK	040	CAKE	B	10,800	33.47	n/a	21-Feb	432.00	0.0
NEUBERGER BERMAN	036	CBU	B	14,398	28.80	n/a	n/a	575.92	0.0
EPOCH INV MGMT	030	CHKP	B	100,000	51.50	n/a	n/a	3,000.00	0.0
STATE TEACHERS RET SYS	047	CSCO	B	50,000	20.94	n/a	14-Feb	2,500.00	5.0
KAM ADVISORS LLC	041	DD	C	89,800	46.20	n/a	n/a	2,694.00	0.0
MACELLUM CAPITAL	086	DLTR	B	51,000	41.46	n/a	12-Feb	1,530.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	DOW	C	131,100	30.87	n/a	n/a	3,933.00	0.0
CORNERSTONE	030	FCX	B	50,000	32.34	n/a	n/a	1,500.00	0.0
REAL ESTATE MGMT SERVICES GROUP093		FOR	B	25,000	17.15		n/a 15-Feb	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL040		F	B	50,000	12.37	n/a	21-Feb	1,500.00	3.0
OZ MGMT	040	F	B	287,000	12.41	n/a	21-Feb	8,610.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	48,086	12.43	n/a	21-Feb	1,923.44	0.0
TRELLUS PARTNERS LP	028	GM	B	5,000	26.34	n/a	21-Feb	150.00	0.0
J. GOLDMAN	028	HBI	B	22,500	38.90	n/a	6-Feb	900.00	4.0
NOMURA/ANGEL LANE PRINCIPAL040		IP	B	10,000	41.19	n/a	21-Feb	300.00	3.0
OZ MGMT	040	IP	B	49,623	41.03	n/a	21-Feb	1,488.69	0.0
NEUBERGER BERMAN	036	LDR	S	2,300	58.34	n/a	n/a	92.00	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	3,000	54.02	n/a	12-Feb	90.00	3.0
WOOSTER CAPITAL	044	LEA	B	15,000	53.84	n/a	12-Feb	600.00	4.0
LOMAS CAPITAL	040	MWV	B	28,000	34.38	n/a	19-Feb	840.00	3.0
OSKIE CAPITAL MGMT	224	MWV	B	15,000	34.46	n/a	19-Feb	750.00	5.0
NEUBERGER BERMAN	036	OZRK	B	9,900	38.25	n/a	n/a	396.00	0.0
CR INTRINSIC/CHRIS C	041	PKG	B	10,000	40.53	n/a	21-Feb	300.00	3.0
DELTEC ASSET MGMT.	040	RKT	S	34,850	83.26	n/a	21-Feb	1,742.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	SCHW	S	32,000	16.45	n/a	n/a	960.00	3.0
KAM ADVISORS LLC	041	SHW	S	10,500	155.70	n/a	n/a	315.00	0.0
MACELLUM CAPITAL	086	SIG	SS	35,000	60.46	n/a	n/a	1,050.00	0.0
DPB CAPITAL	029	SIRI	B	5,000	3.08	n/a	n/a	250.00	5.0
HOLLIS CAPITAL	033	SPR	B	7,500	16.24	n/a	20-Feb	375.00	5.0
VISIUM/BALY BOBBY	044	SPY	C	150,000	150.24	n/a	n/a	7,500.00	0.0
NEUBERGER BERMAN	036	TYL	B	15,938	55.41	n/a	n/a	637.52	0.0
CATAPULT CAP/DEFRANCO	040	WMT	SS	22,000	70.94	n/a	21-Feb	880.00	0.0
TOTAL (Trade Date) :								62,025.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/20	CASTLEROCK (CASTMERRIL)	040	CAKE	SS	357	33.46	n/a	21-Feb	14.28 0.0
AO,CXL	02/20	CASTLEROCK (CASTUBS)	040	CAKE	SS	2,051	33.46	n/a	21-Feb	82.04 0.0
AO,	02/20	CASTLEROCK (CASTUBS)	040	CAKE	SS	2,943	33.46	n/a	21-Feb	117.72 0.0
AO,CXL	02/20	CASTLEROCK (CASTMERRIL)	040	CAKE	SS	249	33.46	n/a	21-Feb	9.96 0.0
AO,CXL	02/20	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	HNZ	B	93,500	72.16	n/a	n/a	3740.00	4.0
AO,CRT	02/20	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	HNZ	B	93,500	72.16	n/a	n/a	1870.00	2.0

TOTAL (AO, CXL, CRT) :	-1,830.00
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TOTAL (Trade Date) :	62,025.20
TOTAL (AO, CXL, CRT) :	-1,830.00

TOTAL (RUN DATE) / NFS:	60,195.20
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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