



## Daily Compliance Activity Report

Trade Date: 02/06/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AXP	B	12,000	60.64	n/a	6-Feb	480.00	0.0
STANDARD PACIFIC CAPITAL	084	BCC	S	40,000	26.11	n/a	n/a	2,000.00	5.0
MACELLUM CAPITAL	086	CROX	B	141,000	15.07	n/a	n/a	4,230.00	3.0
RAINIER INV MGMT	033	CVS	B	36,400	51.41	n/a	n/a	1,456.00	0.0
RBC CAPITAL MARKETS	040	DVN	B	40,000	58.31	n/a	31-Jan	1,600.00	4.0
NOMURA/ANGEL LANE PRINCIPAL040		EXPR	S	50,000	18.29	n/a	n/a	1,500.00	3.0
PEAK INV/OAKMONT/CYPRESS	084	FAF	B	121,000	24.16	n/a	n/a	4,840.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	50,000	5.39	n/a	n/a	1,500.00	0.0
MACELLUM CAPITAL	086	FL	SS	122,000	34.57	n/a	6-Feb	3,660.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040		GD	B	20,000	65.65	n/a	17-Jan	600.00	3.0
S.A.C. CAPITAL	044	GD	B	25,000	66.13	n/a	17-Jan	750.00	3.0
TROUBH PART	070	GE	S	25,000	22.36	n/a	n/a	1,250.00	5.0
CATAPULT CAP/DEFRANCO	040	GRA	B	17,044	74.63	n/a	n/a	681.76	0.0
J. GOLDMAN	028	HBI	B	12,800	38.80	n/a	6-Feb	512.00	4.0
OHIO PERS	047	IP	S	12,500	42.57	n/a	5-Feb	375.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	JBLU	B	35,000	5.79	n/a	4-Feb	1,050.00	3.0
S.A.C. CAPITAL	044	JCP	B	15,000	19.35	n/a	6-Feb	450.00	3.0
TIDE POINT CAPITAL	028	JOY	S	20,000	62.91	n/a	11-Jul	600.00	3.0
RBC CAPITAL MARKETS	040	KOG	B	60,000	9.24	n/a	n/a	2,400.00	4.0
SCOPUS FUND	041	LAD	S	3,300	43.61	n/a	n/a	132.00	0.0
BASSWOOD PARTNERS	267	LEA	B	13,200	50.56	n/a	4-Feb	528.00	0.0
BALYASNY ASSET MGMT	044	LOW	C	25,000	38.01	n/a	n/a	1,250.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	B	13,100	47.55	n/a	n/a	655.00	0.0
J. GOLDMAN	028	LTD	B	60,000	47.44	n/a	n/a	2,400.00	4.0
DISCIPLINED GROWTH INV.	030	MIDD	B	4,300	147.16	n/a	n/a	215.00	0.0
ROXBURY CAPITAL MGMT	033	MLI	B	7,475	54.75	n/a	5-Feb	299.00	0.0
LOMAS CAPITAL	040	MPC	S	22,000	77.23	n/a	n/a	660.00	3.0
SANDLER O'NEILL ASSET	031	MS	S	52,900	23.40	n/a	4-Feb	2,645.00	0.0
WATERFRONT CAP	028	M	S	59,900	39.42	n/a	1-Feb	2,396.00	0.0
CORNERSTONE	030	NTAP	B	135,000	36.02	n/a	23-Jan	4,050.00	0.0
LEVIN CAPITAL STRATEGIES	041	NXY	B	31,873	26.68	n/a	n/a	956.19	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			OREX	B	132,992	6.01	n/a	n/a	2,659.84	0.0
ASCEND PARTNERS	033	PVH	S	35,000	121.50	n/a	4-Feb	1,050.00	0.0	
DISIPLINED GROWTH INV.	030	RCL	B	10,500	35.76	n/a	n/a	525.00	0.0	
SAC COHEN	044	RL	B	5,000	176.48	n/a	4-Feb	150.00	3.0	
S.A.C. CAPITAL	044	SBH	SS	20,000	26.78	n/a	n/a	600.00	3.0	
PATRIOT STRATEGY PARTNERS	036	SSI	B	5,000	23.82	n/a	1-Feb	200.00	4.0	
LOCUST WOOD CAPITAL MGMT	044	TGT	B	21,300	62.07	n/a	6-Feb	852.00	4.0	
SCOPUS FUND	041	TGT	SS	50,000	62.27	n/a	6-Feb	2,000.00	0.0	
DISIPLINED GROWTH INV.	030	TJX	B	23,600	45.36	n/a	1-Feb	1,180.00	0.0	
CENTURION PARTNERS	041	T	S	10,000	35.21	n/a	n/a	400.00	4.0	
GALT INVESTMENT	041	URBN	B	40,000	43.10	n/a	n/a	2,000.00	5.0	
COUGAR TRADING	044	USG	B	5,000	28.73	n/a	6-Feb	250.00	5.0	
COUGAR TRADING	044	USG	SS	5,000	28.93	n/a	6-Feb	250.00	5.0	
SENATOR INVESTMENT GROUP	036	WCRX	B	400,000	14.48	n/a	5-Feb	12,000.00	3.0	
NOMURA/ANGEL LANE PRINCIPAL040		WFM	B	20,000	93.79	n/a	n/a	600.00	3.0	
LEVIN CAPITAL STRATEGIES	041	XRT	C	15,005	67.67	n/a	n/a	450.15	0.0	

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**TOTAL (Trade Date):**

**71,287.94**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/06	ROSEDALE CAPITAL (ROSEJPM)	046	JBLU	B	35,000	5.79	n/a	4-Feb	1050.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,050.00</b>

TOTAL (Trade Date):										71,287.94
TOTAL (AO, CXL, CRT):										1,050.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>72,337.94</b>

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