



Daily Compliance Activity Report

Trade Date: 02/13/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	1,000	473.23	n/a	n/a	40.00	4.0
SCOPUS FUND	041	ABG	B	10,000	36.59	n/a	10-Jan	400.00	0.0
NEUBERGER BERMAN	036	ABT	B	188,589	34.45	n/a	n/a	7,543.56	0.0
LEVIN CAPITAL STRATEGIES	041	ABX	S	10,000	32.44	n/a	n/a	300.00	0.0
WOOSTER CAPITAL	044	ALV	SS	30,000	68.41	n/a	1-Feb	1,200.00	4.0
BESSEMER INVESTMENT	085	AMZN	S	5,500	266.57	n/a	n/a	220.00	4.0
BASSWOOD PARTNERS	267	AON	B	11,600	57.17	n/a	n/a	464.00	0.0
MACELLUM CAPITAL	086	ARO	S	114,000	13.21	n/a	n/a	3,420.00	3.0
SCOPUS FUND	041	ASH	SS	6,765	78.20	n/a	n/a	270.60	0.0
DONALD SMITH	088	AUY	B	200,700	15.82	n/a	n/a	6,021.00	0.0
SMAR	088	AUY	B	21,500	15.82	n/a	n/a	645.00	0.0
J. GOLDMAN	028	BA	SS	14,387	75.02	n/a	6-Feb	575.48	4.0
• Chris Cattani		BP	S	300	42.4700	n/a	n/a	0.00	0.0
CASTLEROCK	040	BRCD	B	30,000	5.79	n/a	23-Jan	1,200.00	0.0
TALPION LLC	040	CBB	B	25,000	4.27	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK	086	CLWR	B	20,000	3.18	n/a	n/a	800.00	4.0
BASSWOOD PARTNERS	267	COF	B	16,400	55.88	n/a	13-Feb	656.00	0.0
CAMBIAR CAP	046	COF	B	33,825	55.69	n/a	13-Feb	1,353.00	0.0
ADAGE CAPITAL MGMT	030	COH	B	200,000	49.12	n/a	4-Feb	6,000.00	3.0
KINGDON ASSET MGMT	041	DE	B	150,000	91.73	n/a	11-Jul	6,000.00	0.0
S.A.C. CAPITAL	044	DE	SS	92,469	90.91	n/a	11-Jul	2,774.07	3.0
T. ROWE PRICE	243	DLTR	B	209,900	39.64	n/a	12-Feb	8,396.00	0.0
ROTHSCHILD ASSET	040	DRH	S	84,787	9.20	n/a	n/a	3,391.48	0.0
RAINIER INV MGMT	033	DSW	S	28,560	68.04	n/a	11-Feb	1,142.40	0.0
Õ Chris Cattani		EMR	S	400	58.0331	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	FINL	B	55,000	18.51	n/a	13-Feb	2,200.00	0.0
KENNEDY CAPITAL	046	FINL	B	100,000	18.50	n/a	13-Feb	4,000.00	0.0
SURVEYOR CAPITAL	251	FINL	SS	23,977	18.51	n/a	13-Feb	719.31	0.0
SURVEYOR CAPITAL	251	FINL	S	30,048	18.51	n/a	13-Feb	901.44	0.0
CR INTRINIC INVESTMENT	044	FL	B	20,000	33.61	n/a	13-Feb	600.00	3.0
Õ Chris Cattani		FPO	S	163	13.3927	n/a	n/a	0.00	0.0
KADE CAPITAL LLC	028	GM	S	15,000	28.80	n/a	13-Feb	750.00	5.0
LOCUST WOOD CAPITAL MGMT	044	GM	B	15,000	28.85	n/a	13-Feb	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	GNC	SS	90,200	36.14	n/a	n/a	3,608.00	4.0
BASSWOOD PARTNERS	267	GS	S	12,700	154.27	n/a	7-Feb	508.00	0.0
SOROS	036	GT	B	200,000	14.05	n/a	n/a	8,000.00	0.0
J. GOLDMAN	028	GWW	S	300	224.55	n/a	12-Feb	12.00	4.0
S.A.C. CAPITAL	044	HAS	SS	25,000	40.41	n/a	n/a	750.00	3.0
FRED ALGER MGMT	070	HD	B	135,120	67.50	n/a	n/a	4,864.32	0.0
COOPER CREEK PART	028	JNY	SS	10,000	12.16	n/a	4-Feb	400.00	4.0
EGS ASSOCIATES LP	091	JNY	SS	4,730	12.34	n/a	4-Feb	236.50	5.0
STANDARD PACIFIC CAPITAL	084	JPM	S	200,000	49.22	n/a	7-Feb	10,000.00	5.0
S.A.C. CAPITAL	044	KR	B	50,000	28.56	n/a	n/a	1,500.00	3.0
BRONSON POINT	036	LEA	B	25,000	55.13	n/a	12-Feb	750.00	0.0
FIRST NY SEC/CHRIS	041	LEA	B	10,000	54.86	n/a	12-Feb	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	LEA	B	10,000	55.00	n/a	12-Feb	300.00	3.0
CR INTRINIC INVESTMENT	044	LOW	B	40,000	39.59	n/a	n/a	1,200.00	3.0
Õ Chris Cattani		LYG	S	112	3.4450	n/a	n/a	0.00	0.0
VERITION	028	OI	S	5,000	25.55	n/a	n/a	150.00	3.0
ROTHSCHILD ASSET	040	OMG	B	24,899	27.34	n/a	n/a	995.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Chris Cattani		PSA	S	400	27.5444	n/a	n/a	0.00	0.0
Õ Chris Cattani		SCMWY	S	300	44.8500	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	SFI	S	10,000	9.98	n/a	n/a	400.00	0.0
DPB CAPITAL	029	SIRI	S	5,000	3.21	n/a	n/a	250.00	5.0
HOLLIS CAPITAL	033	STRZA	B	5,000	18.84	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	TIF	B	105,300	63.40	n/a	n/a	4,212.00	4.0
J. GOLDMAN	028	UTX	B	34,000	89.31	n/a	n/a	1,360.00	4.0
ARSENAL ASSET MANAGEMENT	028	WCC	B	2,500	75.83	n/a	n/a	100.00	0.0
MERRILL ASSET/BLACKROCK	297	WFC	S	96,400	35.03	n/a	7-Feb	3,856.00	0.0
Õ Chris Cattani		XOM	S	75	88.4400	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							107,536.12		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/12	PALISADE CAPITAL MANAGEMENT LLC (PALS558)025		MAPP	S	80	24.91	n/a	n/a	3.20 0.0
AO,	02/12	PALISADE CAPITAL MANAGEMENT LLC (PALSRBCPR)025		MAPP	S	80	24.91	n/a	n/a	3.20 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	107,536.12
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	107,536.12
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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