



## Daily Compliance Activity Report

Trade Date: 02/12/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ANF	S	10,000	50.91	n/a	n/a	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BIG	B	12,500	33.10		n/a	375.00	3.0
BALYASNY ASSET MGMT	044	CAR	SS	20,000	23.02	n/a	n/a	1,000.00	0.0
TALPION LLC	040	CBB	B	800	4.37	n/a	n/a	24.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CMG	SS	7,500	322.95	n/a	6-Feb	225.00	3.0
BASSWOOD PARTNERS	267	COF	B	38,100	55.68	n/a	7-Feb	1,524.00	0.0
HARVEST MGMT (JMP)	029	COH	SS	10,000	49.34	n/a	4-Feb	400.00	4.0
BRANDWINE	028	DAL	S	318,900	14.57	n/a	11-Feb	12,756.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	47.94	n/a	n/a	400.00	4.0
RAINIER INV MGMT	033	DSW	S	61,830	68.00	n/a	11-Feb	2,473.20	0.0
S.A.C. CAPITAL	044	EAT	B	30,000	33.05	n/a	28-Jan	900.00	3.0
PROSPECTOR PARTNERS LLC	036	ENR	S	5,000	88.51	n/a	4-Feb	200.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	18.64	n/a	8-Nov	400.00	4.0
TRELLUS PARTNERS LP	028	GM	B	16,500	28.33	n/a	11-Feb	495.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WEXFORD CAPITAL	284	GM	B	200,800	28.68	n/a	11-Feb	6,024.00	3.0	
MERRILL ASSET/BLACKROCK	297	HBHC	S	7,700	31.23	n/a	n/a	308.00	0.0	
MATRIX ASSET ADV.	091	JCI	B	3,000	31.05	n/a	22-Jan	120.00	4.0	
NOMURA/ANGEL LANE PRINCIPAL040		JCI	SS	10,000	31.02	n/a	22-Jan	300.00	3.0	
COUGAR TRADING	044	JNY	B	5,000	12.05	n/a	4-Feb	250.00	5.0	
BRONSON POINT	036	LEA	B	65,000	54.48	n/a	12-Feb	1,950.00	0.0	
NOMURA/ANGEL LANE PRINCIPAL040		LEA	B	20,000	54.61	n/a	12-Feb	600.00	3.0	
ARSENAL ASSET MANAGEMENT	028	LII	B	5,000	59.15	n/a	n/a	200.00	0.0	
DISIPLINED GROWTH INV.	030	LTD	B	13,900	45.15	n/a	n/a	695.00	0.0	
PALISADE CAPITAL MANAGEMENT LLC025		MAPP	S	100,000	24.91		n/a	n/a	4,000.00	0.0
BALYASNY ASSET MGMT	044	MGM	B	50,000	13.21	n/a	13-Jun	2,500.00	0.0	
LOMAS CAPITAL	040	MLM	B	5,000	97.67	n/a	n/a	150.00	3.0	
COLUMBUS CIRCLE	036	MYGN	S	3,577	24.54	n/a	n/a	143.08	0.0	
S.A.C. CAPITAL	044	M	SS	25,000	40.14	n/a	8-Feb	750.00	3.0	
TIDE POINT CAPITAL	028	NOC	SS	5,000	66.34	n/a	15-Jan	150.00	3.0	
PROSPECTOR PARTNERS LLC	036	NRG	S	10,000	24.43	n/a	n/a	400.00	4.0	
PLATTE RIVER CAPITAL	046	PC	B	80,000	7.51	n/a	n/a	3,200.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	PIR	B	29,871	22.64	n/a	n/a	1,194.84	4.0
MACELLUM CAPITAL	086	RUE	B	19,000	28.50	n/a	n/a	570.00	0.0
BERYLSON CAPITAL	030	STZ	B	15,800	31.35	n/a	1-Feb	474.00	3.0
TIDE POINT CAPITAL	028	TEX	SS	1,000	34.85	n/a	n/a	30.00	3.0
BALYASNY ASSET MGMT	044	URBN	B	20,000	42.15	n/a	n/a	1,000.00	0.0
RIDGECREST INV MGMT LLC	028	WBC	B	3,500	68.67	n/a	12-Feb	140.00	4.0
ARSENAL ASSET MANAGEMENT	028	WHR	B	5,000	110.07	n/a	n/a	200.00	0.0
BASSWOOD PARTNERS	267	XRX	B	58,000	7.98	n/a	n/a	2,320.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>49,141.12</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/11	NEW JERSEY DIV OF INV. (NEWJ5140)	030	MON	B	48,500	101.86	n/a	n/a	1455.00 3.0
AO,CRT	02/11	NEW JERSEY DIV OF INV. (NEWJ5140)	030	MON	B	48,500	101.86	n/a	n/a	1940.00 4.0
AO,	02/11	COLUMBUS CIRCLE (COLC3040)	036	MYGN	S	11,956	25.40	n/a	n/a	478.24 0.0

**TOTAL (AO, CXL, CRT) :****963.24**

TOTAL (Trade Date) :

49,141.12

TOTAL (AO, CXL, CRT) :

963.24

**TOTAL (RUN DATE) / NFS:****50,104.36**

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