



Daily Compliance Activity Report

Trade Date: 02/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	90	458.30	n/a	n/a	90.00	0.0
SCOPUS FUND	041	ABG	B	1,400	36.50	n/a	10-Jan	56.00	4.0
WOODWAY FINANCIAL	031	ABX	S	74,555	32.41	n/a	n/a	4,473.30	6.0
MILLENNIUM PARTNERS ICSUS	041	ACI	SS	160,000	6.36	n/a	n/a	6,400.00	0.0
ELM RIDGE ADVISORS	044	AIG	S	25,000	38.28	n/a	n/a	1,000.00	0.0
RIDGECREST INV MGMT LLC	028	ANN	SS	5,000	32.12	n/a	n/a	200.00	4.0
MILLENNIUM PARTNERS ICSUS	041	ANR	S	80,000	8.52	n/a	n/a	3,200.00	0.0
GEORGE WEISS	278	AXL	S	5,000	12.00	n/a	4-Feb	200.00	0.0
BNP PARIBAS SEC	040	BA	B	10,000	75.80	n/a	4-Feb	300.00	3.0
DC CAPITAL	044	BA	S	75,000	76.61	n/a	4-Feb	3,000.00	4.0
OZ MGMT	040	BA	S	85,487	76.75	n/a	4-Feb	2,564.61	0.0
CONIFER	030	BBRY	B	69,700	15.85	n/a	n/a	2,788.00	0.0
DENVER INST. ADV	046	BWS	B	40,000	17.60	n/a	n/a	1,600.00	0.0
CASTLEROCK	040	CMG	B	3,000	310.67	n/a	4-Feb	120.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CMG	SS	5,000	308.51	n/a	4-Feb	150.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CNX	B	32,500	30.79	n/a	n/a	975.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM PARTNERS ICSUS	041	CNX	B	15,500	31.11	n/a	n/a	620.00	0.0
PROSPECTOR PARTNERS LLC	036	COP	S	10,000	57.83	n/a	n/a	400.00	4.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	CVC	B	200,000	14.41	n/a	n/a	6,000.00	3.0
TRUST CO OF THE WEST/NY	040	CVD	S	3,500	68.30	n/a	n/a	175.00	0.0
TRUST CO/COWEN/CALF.	040	CVD	S	1,105	68.30	n/a	n/a	55.25	0.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	13.87	n/a	4-Feb	500.00	5.0
LATEEF MGMT	033	DOW	B	500	32.41	n/a	18-Jan	50.00	10.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DVN	B	5,500	57.53	n/a	31-Jan	220.00	4.0
LAKEWOOD CAPITAL MGMT	085	EGHT	SS	35,000	7.12	n/a	n/a	1,050.00	0.0
NOMURA INTERNATIONAL PLC	085	EL	S	5,000	64.88	n/a	5-Feb	324.39	0.0
MAIRS AND POWER INV	030	EMR	B	10,000	56.95	n/a	n/a	500.00	5.0
DC CAPITAL	044	ETN	S	50,000	58.34	n/a	11-Jan	2,000.00	4.0
ROARING BLUE LION MGMT	031	EXPR	B	47,940	18.20	n/a	n/a	1,917.60	4.0
DSG CAPITAL	030	FINL	B	5,800	18.31	n/a	30-Jan	174.00	3.0
ROARING BLUE LION MGMT	031	FL	B	26,460	34.28	n/a	30-Jan	1,058.40	4.0
NWQ INVESTMENT MGMT CO	084	FOR	S	13,558	18.75	n/a	8-Nov	474.54	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	FOR	S	5,000	18.74	n/a	8-Nov	200.00	4.0
SCOPUS FUND	041	FOSL	SS	25,000	102.78	n/a	n/a	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	13.17	n/a	4-Feb	3,000.00	3.0
OZ MGMT	040	F	S	89,652	13.09	n/a	4-Feb	2,689.56	0.0
PHILADELPHIA FINANCIAL	033	F	SS	50,000	13.10	n/a	4-Feb	2,000.00	0.0
VISIUM/BALY BOBBY	044	GE	B	20,000	22.57	n/a	n/a	1,000.00	0.0
CAERUS GLOBAL	041	GIL	S	11,225	36.80	n/a	4-Feb	449.00	4.0
CAERUS GLOBAL	041	GM	B	15,000	28.57	n/a	4-Feb	600.00	4.0
OZ MGMT	040	GM	S	28,219	28.55	n/a	4-Feb	846.57	0.0
CAERUS GLOBAL	041	HBI	B	10,741	38.27	n/a	4-Feb	429.64	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HES	B	1,500	66.95	n/a	n/a	60.00	4.0
PROSPECTOR PARTNERS LLC	036	HES	S	5,000	66.61	n/a	n/a	200.00	4.0
LATEEF MGMT	033	HPQ	B	250	16.72	n/a	n/a	27.50	11.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	1,339	92.62	n/a	n/a	53.56	0.0
CONIFER	030	IACI	B	26,758	42.11	n/a	n/a	1,070.32	0.0
MACELLUM CAPITAL	086	JCP	B	75,000	19.19	n/a	14-Jan	2,250.00	3.0
SCOPUS FUND	041	JWN	S	77,587	55.15	n/a	1-Feb	3,103.48	4.0
IRIDIAN ASSET MGMT.	036	KSS	S	9,650	45.37	n/a	1-Feb	482.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	K	S	500	58.67	n/a	n/a	50.00	10.0
BASSWOOD PARTNERS	267	LEA	B	26,400	50.20	n/a	4-Feb	1,056.00	0.0
IRIDIAN ASSET MGMT.	036	LOW	B	14,720	38.40	n/a	n/a	736.00	0.0
SANDLER O'NEILL ASSET	031	MA	B	6,700	518.31	n/a	5-Feb	335.00	5.0
ROXBURY CAPITAL MGMT	033	MLI	B	51,835	55.00	n/a	5-Feb	2,073.40	0.0
LATEEF MGMT	033	MSFT	B	150	27.58	n/a	n/a	30.00	20.0
SAGE ASSET MGMT	025	MS	B	11,700	23.23	n/a	4-Feb	585.00	5.0
BALYASNY ASSET MGMT	044	M	S	25,000	40.16	n/a	1-Feb	1,250.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	O	S	13,300	43.39	n/a	n/a	425.57	0.0
ROSEDALE CAPITAL	046	PBCT	B	30,000	12.54	n/a	4-Feb	1,200.00	4.0
ROARING BLUE LION MGMT	031	PLCE	B	19,340	50.79	n/a	10-Jan	773.60	4.0
CATAPULT	040	PX	B	14,625	111.56	n/a	18-Jan	585.00	0.0
DECADE CAPITAL CHRIS C	041	ROC	B	4,657	54.79	n/a	n/a	186.28	0.0
LAKEWOOD CAPITAL MGMT	085	SVM	C	25,000	4.37	n/a	n/a	750.00	0.0
LATEEF MGMT	033	TEVA	B	750	37.87	n/a	28-Jan	80.00	11.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ROARING BLUE LION MGMT	031	TRLG	B	28,100	23.46	n/a	n/a	1,124.00	4.0	
PROSPECTOR PARTNERS LLC	036	TR	S	5,000	27.27	n/a	n/a	200.00	4.0	
CENTURION PARTNERS	041	T	S	20,000	35.48	n/a	n/a	800.00	4.0	
FIRST NY SEC/CHRIS	041	UAL	SS	10,000	24.25	n/a	4-Feb	500.00	5.0	
SENATOR INVESTMENT GROUP	036	VIAB	S	175,000	59.46	n/a	n/a	5,250.00	0.0	
TRUST CO/COWEN/CALF.	040	VLO	S	48,341	45.99	n/a	n/a	2,417.05	0.0	
LEVIN CAPITAL STRATEGIES	041	VMED	B	9,403	45.29	n/a	n/a	282.09	0.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251		VNQ	B	7,250	68.40		n/a	n/a	290.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		XLE	SS	3,000	77.73		n/a	n/a	120.00	4.0
WHITE PINE CAPITAL	030	YUM	B	7,900	61.70	n/a	5-Feb	395.00	0.0	
APEX CAPITAL MGMT.	261	ZNGA	S	300,000	2.69	n/a	n/a	6,000.00	0.0	
TOTAL (Trade Date) :								89,592.21		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/04	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	ANN	S	50,000	31.14	n/a	n/a	1750.00 3.5
AO,CRT	02/04	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	ANN	S	50,000	31.14	n/a	n/a	1500.00 3.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294329)	084	FOR	S	400	18.66	n/a	8-Nov	14.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI292261)	084	FOR	S	100	18.66	n/a	8-Nov	3.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI250084)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI291763)	084	FOR	S	40	18.66	n/a	8-Nov	1.40 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293246)	084	FOR	S	1,000	18.66	n/a	8-Nov	35.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294113)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI234347)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294179)	084	FOR	S	900	18.66	n/a	8-Nov	31.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293633)	084	FOR	S	100	18.66	n/a	8-Nov	3.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293636)	084	FOR	S	300	18.66	n/a	8-Nov	10.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294020)	084	FOR	S	400	18.66	n/a	8-Nov	14.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293687)	084	FOR	S	300	18.66	n/a	8-Nov	10.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293237)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI292535)	084	FOR	S	100	18.66	n/a	8-Nov	3.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293144)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI291880)	084	FOR	S	1,200	18.66	n/a	8-Nov	42.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI295842)	084	FOR	S	200	18.66	n/a	8-Nov	7.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI295767)	084	FOR	S	900	18.66	n/a	8-Nov	31.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI293507)	084	FOR	S	2,862	18.66	n/a	8-Nov	100.17 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI260144)	084	FOR	S	100	18.66	n/a	8-Nov	3.50 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294173)	084	FOR	S	800	18.66	n/a	8-Nov	28.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294761)	084	FOR	S	600	18.66	n/a	8-Nov	21.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI294740)	084	FOR	S	1,400	18.66	n/a	8-Nov	49.00 0.0
AO,	02/04	NWQ INVESTMENT MGMT CO (NWQI292628)	084	FOR	S	100	18.66	n/a	8-Nov	3.50 0.0
AO,CXL	01/30	PARKWEST (PARWGSBULK)	084	HURN	S	2,074	34.48	n/a	n/a	62.22 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/30	PARKWEST (PARWGSBULK)	084	HURN	S	2,074	34.48	n/a	n/a	82.96 4.0
AO,CXL	02/01	S.A.C. CAPITAL (SACCMSCO)	044	LPX	SS	25,000	20.05	n/a	1-Feb	875.00 3.5
AO,CRT	02/01	S.A.C. CAPITAL (SACCMSCO)	044	LPX	SS	25,000	20.05	n/a	1-Feb	750.00 3.0

TOTAL (AO, CXL, CRT) :	93.81
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TOTAL (Trade Date):	89,592.21
TOTAL (AO, CXL, CRT):	93.81

TOTAL (RUN DATE) / NFS:	89,686.02
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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