Daily Compliance Activity Report

Trade Date: 01/04/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LATEEF MGMT	035	AA	B	300	9.20	n/a	n/a	30.00	10.0
LONG OAR GLOBAL INV	040	ALV	SS	30,000	67.02	n/a	4-Jan	1,200.00	4.0
SCOPUS FUND	041	ALV	SS	25,000	67.13	n/a	4-Jan	1,000.00	0.0
LATEEF MGMT	035	BDN	B	300	12.19	n/a	n/a	30.00	10.0
PRIMECAP MGMT	084	BIIB	S	3,000	147.50	n/a	n/a	120.00	0.0
SCOPUS FUND	041	BWA	SS	25,000	73.69	n/a	7-Nov	1,000.00	0.0
BERYLSON CAPITAL	030	BWLD	SS	5,300	76.03	n/a	n/a	159.00	3.0
LATEEF MGMT	035	CBLPRD	B	600	25.20	n/a	n/a	60.00	10.0
LATEEF MGMT	035	CCK	S	225	38.35	n/a	n/a	40.50	18.0
FARALLON CAP MGMT	040	CHKP	S	80,000	46.76	n/a	n/a	3,200.00	4.0
BTG PACTUAL	040	DKS	S	10,000	47.01	n/a	21-Dec	300.00	3.0
WELLSPRING CAPITAL	**093**	**FINL**	**B**	**25,000**	**17.24**	**n/a**	**4-Jan**	**1,000.00**	**4.0**
MACELLUM CAPITAL	086	FL	SS	40,000	32.98	n/a	21-Dec	1,200.00	3.0
CAERUS GLOBAL	041	GM	B	4,970	29.48	n/a	4-Jan	198.80	4.0
OZ MGMT	040	GM	S	43,365	29.68	n/a	4-Jan	1,300.95	0.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PATRIOT STRATEGY PARTNERS	036	GM	S	7,500	29.71	n/a	4-Jan	300.00	4.0
PHILADELPHIA FINANCIAL	033	GM	B	42,202	29.47	n/a	4-Jan	1,688.08	0.0
LISTED ERR	**099**	**GM**	**S**	**113**	**29.84**	**n/a**	**4-Jan**	**0.00**	**0.0**
ARSENAL ASSET MANAGEMENT	028	HUBB	B	2,500	86.99	n/a	n/a	100.00	0.0
LATEEF MGMT	035	IP	S	200	40.68	n/a	18-Dec	40.00	20.0
TUDOR INVESTORS	028	IP	SS	5,000	40.23	n/a	18-Dec	150.00	3.0
TROUBH PART	070	JPM	B	25,000	45.20	n/a	3-Jan	1,250.00	5.0
SAC CHICAGO ANDREW	031	JWN	B	124,709	54.88	n/a	4-Jan	4,364.82	3.5
MERRILL ASSET/BLACKROCK	297	KMPR	S	27,800	30.80	n/a	n/a	1,112.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	35,000	42.36	n/a	4-Jan	1,050.00	3.0
SCOPUS FUND	041	LAD	B	10,000	40.72	n/a	n/a	400.00	0.0
FIRST NY SEC/CHRIS	041	LCC	S	10,000	14.36	n/a	7-Jan	500.00	5.0
TUDOR INVESTORS	028	LECO	B	3,000	50.81	n/a	n/a	90.00	3.0
IVORY CAPITAL	034	LTD	B	55,000	45.00	n/a	n/a	2,750.00	0.0
BNP PARIBAS SEC	040	MHK	SS	10,000	93.45	n/a	n/a	300.00	3.0
DELTEC ASSET MGMT.	040	M	B	12,500	38.20	n/a	4-Jan	625.00	5.0
SAGE ASSET MGMT	025	NOC	SS	15,800	68.68	n/a	11-Dec	790.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CATAPULT/KGLT	040	PTEN	S	25,000	19.43	n/a	n/a	1,000.00	4.0
LATEEF MGMT	035	RDSB	B	150	71.19	n/a	n/a	36.00	24.0
DELTEC ASSET MGMT.	040	ROST	S	8,200	58.10	n/a	4-Jan	410.00	5.0
CENTURION PARTNERS	041	SPLS	S	50,000	11.79	n/a	n/a	2,000.00	4.0
LATEEF MGMT	035	SPLS	B	250	11.86	n/a	n/a	27.50	11.0
BAIRD INVESTMENT	047	SWN	S	8,600	33.90	n/a	4-Jan	430.00	0.0
DPB CAPITAL	029	S	S	5,000	5.80	n/a	n/a	250.00	5.0
SCOPUS FUND	041	TEN	SS	25,000	35.62	n/a	n/a	1,000.00	0.0
LATEEF MGMT	035	TEVA	B	125	38.05	n/a	4-Jan	30.00	24.0
CENTURION PARTNERS	041	TIF	S	15,000	61.17	n/a	n/a	600.00	4.0
J. GOLDMAN	028	TIF	SS	24,098	61.35	n/a	n/a	963.92	4.0
S.A.C. CAPITAL	044	TJX	SS	100,000	44.52	n/a	4-Jan	3,500.00	3.5
LATEEF MGMT	035	TSN	S	300	20.34	n/a	n/a	30.00	10.0
MACELLUM CAPITAL	086	URBN	S	25,000	41.48	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	VLTR	B	30,479	16.89	n/a	n/a	914.37	0.0
TUDOR INVESTORS	028	WNC	SS	5,000	9.84	n/a	n/a	150.00	3.0

TOTAL (Trade Date):   **38,440.94**

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/03	CATAPULT (CATAML)	040	AXL	B	30,739	12.00	n/a	4-Jan	1229.56	0.0
AO,	01/03	CATAPULT CAP/DEFRANCO (CATDML)	040	AXL	B	30,739	12.00	n/a	4-Jan	1229.56	0.0
AO,CXL	01/03	CATAPULT (CATAML)	040	GM	B	28,886	29.79	n/a	4-Jan	1155.44	0.0
AO,CXL	01/03	CATAPULT (CATAML)	040	GM	SS	14,400	29.68	n/a	4-Jan	576.00	0.0
AO,	01/03	CATAPULT CAP/DEFRANCO (CATDML)	040	GM	B	28,886	29.79	n/a	4-Jan	1155.44	0.0
AO,	01/03	CATAPULT CAP/DEFRANCO (CATDML)	040	GM	SS	14,400	29.68	n/a	4-Jan	576.00	0.0

TOTAL (AO, CXL, CRT):   **0.00**

TOTAL (Trade Date):   38,440.94
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TOTAL (RUN DATE) / NFS: **38,440.94**

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