



Daily Compliance Activity Report

Trade Date: 02/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	AEO	S	15,600	20.55	n/a	2-Dec	624.00	0.0
APEX CAPITAL MGMT.	261	ALV	C	5,100	64.34	n/a	1-Feb	204.00	0.0
MACELLUM CAPITAL	086	ANN	B	99,653	27.48	n/a	n/a	2,989.59	3.0
LISTED ERR	099	ANN	B	300	27.49	n/a	n/a	0.00	0.0
LISTED ERR	099	ANN	S	2,749	27.49	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	ATVI	C	15,900	14.21	n/a	n/a	636.00	0.0
ROSEDALE CAPITAL	046	AXL	B	20,000	12.19	n/a	25-Feb	800.00	4.0
BASSWOOD PARTNERS	267	AXP	SS	15,365	61.60	n/a	25-Feb	614.60	0.0
OZ MGMT	040	BA	B	173,399	75.50	n/a	25-Feb	5,201.97	0.0
IVORY CAPITAL	084	BBY	S	90,670	16.99	n/a	n/a	4,533.50	0.0
APEX CAPITAL MGMT.	261	BID	S	4,500	37.43	n/a	n/a	180.00	0.0
BERYLSON CAPITAL	030	BONT	B	43,500	10.48	n/a	21-Feb	1,305.00	3.0
APEX CAPITAL MGMT.	261	BRLI	C	4,700	25.60	n/a	n/a	188.00	0.0
APEX CAPITAL MGMT.	261	BSX	C	27,900	7.28	n/a	n/a	837.00	0.0
APEX CAPITAL MGMT.	261	CNQR	C	4,500	69.65	n/a	n/a	180.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BARROW HANLEY MEWHINNEY	031	COF	S	37,500	50.86	n/a	25-Feb	1,312.50	0.0	
BASSWOOD PARTNERS	267	COF	B	3,711	51.06	n/a	25-Feb	148.44	0.0	
TROUBH PART	070	COH	B	10,000	46.42	n/a	14-Feb	500.00	5.0	
CASTLE ARK	031	COST	B	232,400	99.96	n/a	n/a	11,620.00	0.0	
CORNERSTONE	030	COST	S	89,554	99.47	n/a	n/a	2,686.62	0.0	
SOROS	036	COST	S	100,000	99.98	n/a	n/a	4,000.00	0.0	
SIGMA CAPITAL ASSOCIATES	041	CRI	S	25,000	58.63	n/a	n/a	750.00	3.0	
EVERGREEN	047	CRK	B	8,000	13.88	n/a	n/a	320.00	0.0	
EVERGREEN	047	CRS	B	10,000	46.78	n/a	31-Jan	400.00	0.0	
HOPLITE MGMT	025	CX	B	10,015	10.18	n/a	n/a	400.60	0.0	
BASSWOOD PARTNERS	267	C	B	6,764	41.32	n/a	25-Feb	270.56	0.0	
APEX CAPITAL MGMT.	261	DNDN	S	26,100	5.33	n/a	n/a	783.00	0.0	
OZ MGMT	040	DRI	S	25,000	45.61	n/a	26-Feb	750.00	0.0	
NUVEEN - US BANCORP		030	EQIX	B	30,668	211.97	n/a	n/a	1,380.08	0.0
KENNEDY CAPITAL	046	FINL	B	25,000	17.77	n/a	26-Feb	1,000.00	0.0	
APEX CAPITAL MGMT.	261	FL	S	4,800	33.12	n/a	26-Feb	192.00	0.0	
EVERGREEN	047	FNFG	B	12,000	7.96	n/a	n/a	360.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	FNP	S	15,000	17.10	n/a	n/a	450.00	3.0
EVERGREEN	047	GDXJ	B	10,000	16.63	n/a	n/a	400.00	0.0
EVERGREEN	047	GDX	B	7,000	38.93	n/a	n/a	280.00	0.0
SCOPUS FUND	041	GM	S	100,000	26.49	n/a	25-Feb	4,000.00	0.0
SYMPHONY ASSET	033	GM	B	31,690	26.68	n/a	25-Feb	950.70	0.0
METROPOLITAN CAPITAL	044	GNC	B	5,100	40.00	n/a	n/a	255.00	0.0
EVERGREEN	047	GNTX	B	12,000	18.92	n/a	30-Jan	480.00	0.0
EVERGREEN	047	HLX	B	10,000	22.66	n/a	n/a	400.00	0.0
EVERGREEN	047	HOLX	B	12,000	21.99	n/a	n/a	480.00	0.0
APEX CAPITAL MGMT.	261	HTZ	S	26,400	19.11	n/a	n/a	1,056.00	0.0
APEX CAPITAL MGMT.	261	IPGP	C	4,300	57.49	n/a	n/a	172.00	0.0
MOORE CAPITAL	041	IP	B	25,000	42.35	n/a	25-Feb	750.00	0.0
J. GOLDMAN	028	ITB	SS	10,000	22.14	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	261	ITMN	S	18,600	8.39	n/a	n/a	558.00	0.0
BASSWOOD PARTNERS	267	KEY	S	250,000	9.16	n/a	n/a	10,000.00	0.0
NOKOMIS PARTNERS	031	KSS	S	10,500	45.59	n/a	21-Feb	283.44	1.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	LDR	S	1,691	58.46	n/a	n/a	67.64	0.0
EVERGREEN	047	LFL	S	10,000	23.53	n/a	n/a	400.00	0.0
APEX CAPITAL MGMT.	261	LTD	S	16,500	43.27	n/a	n/a	660.00	0.0
CASTLEROCK	040	LULU	SS	4,014	65.96	n/a	26-Feb	160.56	4.0
THOMPSON SIEGAL&WALMSLEY	029	LUV	S	26,500	11.26	n/a	19-Feb	795.00	0.0
APEX CAPITAL MGMT.	261	MANH	C	3,100	68.67	n/a	n/a	124.00	0.0
WADDELL AND REED	047	MDLZ	S	200,000	26.69	n/a	n/a	8,000.00	0.0
MOORE CAPITAL	041	MRO	B	25,000	32.48	n/a	n/a	750.00	0.0
APEX CAPITAL MGMT.	261	MR	C	4,600	37.71	n/a	n/a	184.00	0.0
APEX CAPITAL MGMT.	261	MTW	S	14,700	17.93	n/a	11-Jul	588.00	0.0
M&I FUNDS	047	M	B	5,831	39.85	n/a	26-Feb	233.24	0.0
SCOPUS FUND	041	M	B	25,000	39.66	n/a	26-Feb	1,000.00	0.0
APEX CAPITAL MGMT.	261	NFLX	S	4,500	181.00	n/a	n/a	180.00	0.0
J. GOLDMAN	028	OI	B	28,000	24.89	n/a	n/a	1,120.00	4.0
APEX CAPITAL MGMT.	261	OPEN	S	20,000	53.80	n/a	n/a	800.00	0.0
APEX CAPITAL MGMT.	261	OTEX	C	4,600	53.97	n/a	n/a	184.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	046	PC	B	40,000	7.24	n/a	n/a	1,600.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	RHT	S	5,754	49.17		n/a	n/a	230.16 4.0
SANDLER CAPITAL	028	RKT	B	33,300	86.28	n/a	22-Feb	1,665.00	0.0
APEX CAPITAL MGMT.	261	SAP	C	4,500	77.51	n/a	n/a	180.00	0.0
MACELLUM CAPITAL	086	SHOO	B	20,000	43.66	n/a	n/a	600.00	3.0
CORNERSTONE	030	SHW	B	54,262	156.07	n/a	n/a	1,627.86	0.0
APEX CAPITAL MGMT.	261	SINA	S	4,700	51.13	n/a	n/a	188.00	0.0
SMITH MGMT/ALDEN GLOBAL		029	SPF	S	500,000	7.68	n/a	n/a	15,000.00 3.0
DECADE CAPITAL CHRIS C	041	SYT	B	25,598	83.68	n/a	n/a	1,023.92	0.0
S.A.C. CAPITAL	044	TJX	SS	50,000	43.64	n/a	21-Feb	1,500.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	TSM	S	20,826	17.72		n/a	n/a	624.78 3.0
DENVER INST. ADV	046	TUMI	B	10,000	23.07	n/a	n/a	400.00	0.0
APEX CAPITAL MGMT.	261	ULTA	S	5,100	86.51	n/a	n/a	204.00	0.0
APEX CAPITAL MGMT.	261	VMW	S	2,600	71.13	n/a	n/a	104.00	0.0
BARROW HANLEY MEWHINNEY	031	VOD	S	750,000	24.57	n/a	n/a	26,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RATAN CAPITAL MGMT LP	041	VRX	B	10,000	65.19	n/a	n/a	300.00	3.0
COLUMBUS CIRCLE	036	VSI	S	17,600	52.88	n/a	n/a	704.00	0.0
DECADE CAPITAL CHRIS C	041	WBC	SS	4,954	66.30	n/a	15-Feb	198.16	0.0
APEX CAPITAL MGMT.	261	WCC	S	4,400	71.15	n/a	n/a	176.00	0.0
APEX CAPITAL MGMT.	261	WDAY	C	5,100	55.75	n/a	n/a	204.00	0.0
ACK ASSET	028	XHB	SS	100,000	27.34	n/a	n/a	3,000.00	0.0
J. GOLDMAN	028	XHB	SS	9,000	27.73	n/a	n/a	360.00	4.0
TOTAL (Trade Date):								137,468.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	02/26	LISTED ERR (LISTED ERR)	099	ANN	B	300	27.49	n/a	n/a	0.00	0.0
CRT	02/26	LISTED ERR (LISTED ERR)	099	ANN	S	2,749	27.49	n/a	n/a	0.00	0.0
AO,	02/25	BTG PACTUAL (BTGPARF2)	040	BBRY	B	15,000	13.45	n/a	n/a	450.00	0.0
AO,CXL	02/25	ROBERTSON STEVENS (ROBX900)	084	CMP	S	70	76.63	n/a	n/a	2.78	0.0
AO,CXL	02/25	RIVERPARK CAPITAL (RIVPGSPB)	025	FSLR	B	568	33.33	n/a	n/a	28.40	5.0
AO,CRT	02/25	RIVERPARK CAPITAL (RIVPGSPB)	025	FSLR	B	6,132	33.33	n/a	n/a	306.60	5.0
AO,CXL	02/25	RIVERPARK CAPITAL (RIVPCS)	025	FSLR	B	6,132	33.33	n/a	n/a	306.60	5.0
AO,CRT	02/25	RIVERPARK CAPITAL (RIVPCS)	025	FSLR	B	568	33.33	n/a	n/a	28.40	5.0

TOTAL (AO, CXL, CRT) :**447.22**

TOTAL (Trade Date) :

137,468.92

TOTAL (AO, CXL, CRT) :

447.22

TOTAL (RUN DATE) / NFS :**137,916.14**

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