



Daily Compliance Activity Report

Trade Date: 02/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	250	450.90	n/a	n/a	12.50	0.0
OHIO PERS	047	AA	S	67,300	8.99	n/a	n/a	2,019.00	0.0
CR INTRINSIC/CHRIS C	041	AGCO	SS	10,000	53.33	n/a	n/a	350.00	3.5
EDGEWOOD	085	AGN	B	597	106.63	n/a	28-Jan	29.85	0.0
LONG OAR GLOBAL INV	040	ALB	SS	10,000	61.26	n/a	n/a	400.00	4.0
EDGEWOOD	085	AMT	B	1,238	76.86	n/a	n/a	61.90	0.0
EDGEWOOD	085	AMZN	B	370	263.34	n/a	n/a	18.50	0.0
SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	30.70	n/a	n/a	1,750.00	3.5
NEWLAND CAPITAL MGT	025	AXL	S	10,000	11.93	n/a	31-Jan	400.00	4.0
GEORGE WEISS	278	A	B	25,000	45.34	n/a	n/a	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	A	C	10,000	45.46	n/a	n/a	300.00	0.0
DC CAPITAL	044	BA	B	100,000	74.55	n/a	30-Jan	4,000.00	4.0
OZ MGMT	040	BA	B	231,701	74.87	n/a	30-Jan	6,951.03	0.0
NWQ INVESTMENT MGMT CO	084	BKI	B	2,900	28.88	n/a	n/a	101.50	0.0
NEWLAND CAPITAL MGT	025	BMS	B	5,000	36.08	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	BOBE	B	4,200	43.82	n/a	n/a	147.00	0.0
DENVER INST. ADV	046	BWS	B	27,720	17.17	n/a	n/a	1,108.80	0.0
EDGEWOOD	085	CELG	B	1,387	101.17	n/a	n/a	69.35	0.0
PERIMETER	273	CHMT	B	7,520	23.90	n/a	18-Feb	225.60	0.0
EDGEWOOD	085	CME	B	1,743	58.60	n/a	28-Apr	87.15	0.0
EDGEWOOD	085	CMG	B	325	310.74	n/a	31-Jan	16.25	0.0
EDGEWOOD	085	CTSH	B	1,946	78.38	n/a	n/a	97.30	0.0
CAPITAL GROWTH MGMT.	241	DAL	S	150,000	13.78	n/a	28-Jan	6,000.00	4.0
PERIMETER	273	DAR	B	32,210	17.00	n/a	n/a	966.30	0.0
LOMAS CAPITAL	040	DFS	S	67,000	38.58	n/a	1-Feb	2,010.00	3.0
KINGDON ASSET MGMT	041	DRI	B	50,000	47.00	n/a	3-Jan	2,000.00	0.0
EDGEWOOD	085	ECL	B	1,065	73.37	n/a	18-Jan	53.25	0.0
LEVIN CAPITAL STRATEGIES	041	ECL	C	6,000	73.79	n/a	18-Jan	180.00	0.0
KAM ADVISORS LLC	041	EMN	B	58,800	73.75	n/a	n/a	1,764.00	0.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	107,253	31.48	n/a	1-Feb	3,217.59	0.0
S.A.C. CAPITAL	044	FDO	B	30,000	56.54	n/a	4-Jan	1,050.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	FOR	S	46,875	19.27	n/a	8-Nov	1,640.63	0.0
SCOPUS FUND	041	FOSL	SS	16,376	104.19	n/a	n/a	655.04	0.0
CAERUS GLOBAL	041	F	S	50,000	13.01	n/a	1-Feb	2,000.00	4.0
CASTLEROCK	040	F	SS	41,693	13.01	n/a	1-Feb	1,667.72	4.0
OZ MGMT	040	F	S	250,000	13.07	n/a	1-Feb	7,500.00	0.0
PHILADELPHIA FINANCIAL	033	F	SS	100,000	13.05	n/a	1-Feb	4,000.00	0.0
EDGEWOOD	085	GILD	B	1,075	40.23	n/a	n/a	53.75	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	5,000	28.45	n/a	1-Feb	150.00	0.0
TROUBH PART	070	GM	B	25,000	28.47	n/a	1-Feb	1,250.00	5.0
EDGEWOOD	085	GOOG	B	160	765.50	n/a	n/a	8.00	0.0
HOPLITE MGMT	025	GRPN	B	150,654	5.62	n/a	n/a	4,519.62	0.0
CAPITAL WORLD	084	HD	S	345,749	67.44	n/a	n/a	12,101.22	0.0
LEVIN CAPITAL STRATEGIES	041	HES	B	7,449	67.74	n/a	n/a	223.47	0.0
CAPITAL GROWTH MGMT.	241	HMC	B	20,000	38.46	n/a	n/a	1,000.00	5.0
BRONSON POINT	036	HST	B	50,000	16.62	n/a	13-Jun	1,500.00	0.0
CAPITAL GROWTH MGMT.	241	HTZ	B	100,000	18.63	n/a	n/a	4,000.00	4.0
LIONEYE CAPITAL	040	IDTI	B	25,000	7.36	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	IHS	B	975	103.92	n/a	n/a	48.75	0.0
EDGEWOOD	085	ILMN	B	1,698	50.94	n/a	n/a	84.90	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	265,000	42.00	n/a	1-Feb	13,250.00	5.0
TIDE POINT CAPITAL	028	IP	B	25,000	42.02	n/a	1-Feb	750.00	0.0
EDGEWOOD	085	ISRG	B	171	583.50	n/a	n/a	8.56	0.0
IONIC CAPITAL MANAGEMENT	041	IWM	SS	390	90.55	n/a	n/a	11.70	0.0
PARAMETER CAPITAL MGMT LLC	044	JOY	B	40,000	64.70	n/a	11-Jul	1,600.00	0.0
BRIGADE CAPITAL MGMT	029	LCC	S	64,906	14.35	n/a	30-Jan	1,947.18	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	LEA	B	3,433	49.08	n/a	1-Feb	137.32	4.0
VERITION	028	LEA	B	5,000	49.29	n/a	1-Feb	150.00	3.0
WEXFORD CAPITAL	284	LEA	B	20,000	49.60	n/a	1-Feb	600.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	25,000	19.87	n/a	1-Feb	1,250.00	5.0
S.A.C. CAPITAL	044	LPX	SS	25,000	20.05	n/a	1-Feb	875.00	3.5
EDGEWOOD	085	MJN	B	1,184	75.42	n/a	n/a	59.20	0.0
EDGEWOOD	085	MJN	S	336,900	75.17	n/a	n/a	16,845.00	0.0
LEVIN CAPITAL STRATEGIES	041	MRK	B	16,079	42.01	n/a	n/a	482.37	0.0
NWQ INVESTMENT MGMT CO	084	NWBI	B	5,850	12.20	n/a	n/a	204.75	0.0
LEVIN CAPITAL STRATEGIES	041	PFE	S	310,094	27.69	n/a	n/a	9,302.82	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	113,400	38.70	n/a	1-Feb	5,670.00	5.0
NEWLAND CAPITAL MGT	025	PLOW	S	12,204	13.56	n/a	n/a	488.16	4.0
BRONSON POINT	036	PM	C	50,000	87.97	n/a	n/a	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	PRGO	B	38,900	106.09	n/a	1-Feb	1,556.00	0.0
EDGEWOOD	085	PX	B	453	111.57	n/a	18-Jan	22.65	0.0
EDGEWOOD	085	QCOM	B	1,730	66.17	n/a	n/a	86.50	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	40,000	79.91	n/a	1-Feb	2,000.00	5.0
DENVER INST. ADV	046	RKT	B	8,100	79.99	n/a	1-Feb	324.00	0.0
GEORGE WEISS	278	RKT	B	5,900	80.02	n/a	1-Feb	236.00	0.0
SUFFOLK CAPITAL MGMT	040	RL	S	5,000	163.05	n/a	5-Nov	200.00	0.0
SCOPUS FUND	041	ROST	S	70,900	59.68	n/a	1-Feb	2,836.00	0.0
IONIC CAPITAL MANAGEMENT	041	SPY	SS	450	151.21	n/a	n/a	13.50	0.0
FIRST NY SEC/CHRIS	041	SSI	B	10,000	22.98	n/a	1-Feb	500.00	5.0
HALCYON LLC	041	STZ	B	75,000	33.40	n/a	1-Feb	3,000.00	0.0
ACK ASSET	028	ST	S	12,000	34.22	n/a	n/a	360.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	4,279	42.01	n/a	n/a	171.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KINGDON ASSET MGMT	041	TGT	B	45,000	61.10	n/a	3-Jan	1,800.00	0.0
LEVIN CAPITAL STRATEGIES	041	TGT	B	5,868	61.50	n/a	3-Jan	176.04	0.0
BNP PARIBAS SEC	040	TJX	S	25,000	45.48	n/a	1-Feb	750.00	3.0
EDGEWOOD	085	TROW	B	1,405	72.37	n/a	n/a	70.25	0.0
1798 CAP/LOMBARD ASSET	040	TYC	B	17,500	30.55	n/a	30-Jan	875.00	0.0
HALCYON LLC	041	VC	S	11,217	57.28	n/a	n/a	448.68	0.0
EDGEWOOD	085	VIAB	B	1,563	60.12	n/a	n/a	78.15	0.0
SENATOR INVESTMENT GROUP	036	VIAB	S	97,869	60.60	n/a	n/a	2,936.07	3.0
CATAPULT/KGLT	040	VLO	S	25,000	44.83	n/a	n/a	1,000.00	0.0
EDGEWOOD	085	V	B	795	157.83	n/a	16-Jan	39.75	0.0
EPOCH INV MGMT	030	WCN	B	100,000	36.02	n/a	n/a	3,000.00	0.0
1798 CAP/LOMBARD ASSET	040	WHR	B	3,000	115.10	n/a	n/a	150.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	S	5,000	92.47	n/a	n/a	200.00	0.0
IONIC CAPITAL MANAGEMENT	041	XLU	SS	2,200	36.69	n/a	n/a	66.00	0.0
EDGEWOOD	085	YUM	B	1,502	65.63	n/a	28-Jan	75.10	0.0

TOTAL (Trade Date):

158,342.88

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/29	RIVERPARK CAPITAL (RIVP602985)	025	CME	B	2,942	57.82	n/a	28-Apr	0.00 0.0
AO,CRT	01/29	RIVERPARK CAPITAL (RIVP602985)	025	CME	B	2,942	57.82	n/a	28-Apr	147.10 5.0
TOTAL (AO, CXL, CRT) :										147.10

TOTAL (Trade Date):	158,342.88
TOTAL (AO, CXL, CRT):	147.10

TOTAL (RUN DATE) / NFS:	158,489.98
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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