



Daily Compliance Activity Report

Trade Date: 03/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AAPL	S	35,009	432.72	n/a	n/a	1,288.16	0.0
DARUMA ASSET MGMT INC	046	AAV	S	113,201	3.05	n/a	n/a	4,528.04	0.0
MELLON/BANK OF NEW YORK	046	ADBE	B	226,490	39.79	n/a	n/a	7,999.42	0.0
S.A.C. CAPITAL	044	ANN	B	30,000	28.13	n/a	n/a	900.00	3.0
CASTLEROCK	098	ARCO	SS	15,000	12.86	n/a	3-Jan	600.00	0.0
S.A.C. CAPITAL	044	ASNA	B	25,000	16.41	n/a	n/a	750.00	3.0
ROSEDALE CAPITAL	046	AXL	B	25,000	12.48	n/a	1-Mar	1,000.00	4.0
DELTEC ASSET MGMT.	040	BA	B	10,000	77.03	n/a	1-Mar	500.00	5.0
OZ MGMT	040	BA	B	105,534	76.88	n/a	1-Mar	3,166.02	0.0
BRANDWINE	028	CCL	S	238,100	35.87	n/a	n/a	9,524.00	0.0
S.A.C. CAPITAL	044	CRI	B	4,192	55.62	n/a	n/a	125.76	3.0
NORTHWESTERN MUTUAL LIFE	047	CTL	S	30,600	34.96	n/a	n/a	1,224.00	0.0
FIRST NY SEC/CHRIS	041	DAL	S	15,000	14.87	n/a	1-Mar	750.00	5.0
WELLSPRING CAPITAL	093	DAL	S	20,000	14.85	n/a	1-Mar	800.00	0.0
BALYASNY ASSET MGMT	044	DSW	S	15,000	67.85	n/a	11-Feb	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	EQIX	B	98,564	212.92	n/a	n/a	3,850.82	0.0
MERRILL ASSET/BLACKROCK	297	ESS	B	14,000	147.62	n/a	n/a	560.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,000	18.00	n/a	27-Feb	1,000.00	0.0
PHILADELPHIA FINANCIAL	033	F	SS	200,000	12.60	n/a	1-Mar	8,000.00	0.0
BNP PARIBAS SEC	040	GM	B	20,000	27.33	n/a	1-Mar	600.00	3.0
OZ MGMT	040	GM	S	97,159	27.40	n/a	1-Mar	2,914.77	0.0
CAPITAL GROWTH MGMT.	241	HT	B	350,000	5.65	n/a	n/a	10,500.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	70,000	44.04	n/a	1-Mar	3,500.00	0.0
DELTEC ASSET MGMT.	040	IP	B	10,000	43.97	n/a	1-Mar	500.00	0.0
BRONSON POINT	036	LEA	B	25,000	53.49	n/a	1-Mar	750.00	0.0
WATERFRONT CAP	028	LOW	S	12,349	38.33	n/a	n/a	493.96	0.0
WATERFRONT CAP	028	MTW	S	24,983	18.17	n/a	11-Jul	999.32	0.0
S.A.C. CAPITAL	044	ROST	B	20,000	57.68	n/a	21-Feb	600.00	3.0
DPB CAPITAL	029	SIRI	S	5,000	3.12	n/a	n/a	250.00	5.0
LOMAS CAPITAL	040	SYI	SS	83,000	32.04	n/a	n/a	2,490.00	3.0
MELLON/BANK OF NEW YORK	046	TDC	S	243,082	58.79	n/a	n/a	9,499.76	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	WY	B	20,000	29.53	n/a	1-Mar	600.00	3.0
TOTAL (Trade Date):								81,014.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/28	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	75,000	2.21	n/a	n/a	2250.00 3.0
AO,CRT	02/28	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	75,000	2.21	n/a	n/a	1500.00 2.0
AO,CXL	02/27	CENTURION PARTNERS (CENTBSPT)	041	CTL	S	20,000	33.97	n/a	n/a	0.00 0.0
AO,CRT	02/27	CENTURION PARTNERS (CENTBSPT)	041	CTL	S	20,000	33.97	n/a	n/a	800.00 4.0
AO,CXL	02/28	WINSLOW CAPITAL (WINS169)	030	DG	B	100	46.42	n/a	1-Mar	3.00 3.0
AO,CXL	02/28	WINSLOW CAPITAL (WINS169)	030	DG	B	100	46.16	n/a	1-Mar	3.00 3.0
AO,CRT	02/28	WINSLOW CAPITAL (WINS169)	030	DG	B	200	46.29	n/a	1-Mar	6.00 3.0
AO,CXL	02/28	DELTEC ASSET MGMT. (DELTPERSPB)	040	LCC	B	30,000	13.50	n/a	1-Mar	1500.00 5.0
AO,CRT	02/28	DELTEC ASSET MGMT. (DELTPERSPB)	040	LCC	B	30,000	13.50	n/a	1-Mar	1200.00 4.0

TOTAL (AO, CXL, CRT) :	-250.00
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TOTAL (Trade Date):	81,014.03
TOTAL (AO, CXL, CRT):	-250.00

TOTAL (RUN DATE) / NFS:	80,764.03
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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