



Daily Compliance Activity Report

Trade Date: 02/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	1,000,000	2.88	n/a	n/a	20,000.00	2.0
SAGE ASSET MGMT	025	AAN	SS	1,800	29.49	n/a	n/a	90.00	5.0
NEWLAND CAPITAL MGT	025	ACCO	S	15,000	7.99	n/a	n/a	450.00	3.0
BESSEMER INVESTMENT	085	ACE	B	1,215	86.99	n/a	n/a	48.60	4.0
BESSEMER INVESTMENT	085	ACN	B	1,245	74.40	n/a	n/a	49.80	4.0
BESSEMER INVESTMENT	085	AET	B	1,905	48.01	n/a	n/a	76.20	4.0
ADAGE CAPITAL MGMT	030	ANF	B	142,200	50.88	n/a	n/a	4,266.00	3.0
BALYASNY ASSET MGMT	044	ANF	S	20,000	51.52	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	APA	B	75	76.96	n/a	15-Feb	3.75	5.0
BRONSON POINT	036	ASNA	S	50,000	17.71	n/a	n/a	1,500.00	0.0
NEUBERGER BERMAN	036	ASPS	B	6,300	87.30	n/a	n/a	252.00	0.0
BESSEMER INVESTMENT	085	AVGO	B	1,560	35.35	n/a	n/a	62.40	4.0
SAGE ASSET MGMT	025	AZO	SS	150	373.62	n/a	n/a	7.50	5.0
NEUBERGER BERMAN	036	BECN	B	43,600	38.49	n/a	n/a	1,744.00	0.0
NEUBERGER BERMAN	036	BKU	B	13,397	27.73	n/a	n/a	535.88	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	BOH	B	18,685	49.28	n/a	n/a	747.40	0.0
NEUBERGER BERMAN	036	BOKF	B	5,720	58.35	n/a	n/a	228.80	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CAKE	SS	20,000	33.30	n/a	19-Feb	600.00	3.0
NEUBERGER BERMAN	036	CBU	B	15,320	29.15	n/a	n/a	612.80	0.0
BESSEMER INVESTMENT	085	COH	B	1,185	48.37	n/a	14-Feb	47.40	4.0
BESSEMER INVESTMENT	085	COP	B	1,040	57.90	n/a	n/a	41.60	4.0
PATTEN & PATTEN	025	CSCO	B	150	21.30	n/a	14-Feb	7.50	5.0
BESSEMER INVESTMENT	085	CTL	B	1,335	33.80	n/a	n/a	53.40	4.0
BESSEMER INVESTMENT	085	CVS	B	1,295	52.19	n/a	n/a	51.80	4.0
BESSEMER INVESTMENT	085	C	B	1,410	44.32	n/a	19-Feb	56.40	4.0
SCOPUS FUND	041	DDS	SS	15,000	87.06	n/a	n/a	600.00	0.0
VELAZQUEZ/MILLENNIUM	041	DHR	B	40,000	61.75	n/a	n/a	1,600.00	0.0
HARVEST MGMT (JMP)	029	DLTR	B	10,000	40.39	n/a	12-Feb	400.00	4.0
CASTLEROCK	040	DRI	SS	3,000	45.39	n/a	19-Feb	120.00	0.0
BESSEMER INVESTMENT	085	DTE	B	595	64.72	n/a	n/a	23.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	FINL	B	56,000	18.60	n/a	13-Feb	2,800.00	0.0
NEUBERGER BERMAN	036	FNB	B	84,800	11.85	n/a	n/a	3,392.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	19.80	n/a	15-Feb	400.00	4.0
SAGE ASSET MGMT	025	FRED	SS	3,900	13.69	n/a	n/a	195.00	5.0
KENNEDY CAPITAL	046	GIII	S	4,802	37.00	n/a	n/a	192.08	0.0
WOODWAY FINANCIAL	031	GIS	S	50,000	45.25	n/a	n/a	3,000.00	6.0
S.A.C. CAPITAL	044	GNC	S	20,000	42.41	n/a	n/a	600.00	3.0
DELTEC ASSET MGMT.	040	GPI	B	10,000	60.95	n/a	19-Feb	500.00	5.0
KAM ADVISORS LLC	041	HAL	S	57,300	42.98	n/a	n/a	1,719.00	0.0
NEUBERGER BERMAN	036	HLSS	B	54,800	23.06	n/a	n/a	2,192.00	0.0
BALYASNY ASSET MGMT	044	HTZ	S	30,000	19.53	n/a	n/a	1,500.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	100	94.63	n/a	n/a	4.00	0.0
NWQ INVESTMENT MGMT CO	084	IR	S	18,050	53.51	n/a	14-Feb	631.75	0.0
NWQ INVESTMENT MGMT CO	084	JPM	S	20,950	49.51	n/a	15-Feb	733.25	0.0
ROSEDALE CAPITAL	046	KEG	S	2,300	9.44	n/a	31-Jan	69.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	LDR	S	1,800	58.16	n/a	n/a	72.00	0.0
CAERUS GLOBAL	041	LEA	S	19,922	55.66	n/a	12-Feb	796.88	4.0
PATTEN & PATTEN	025	MDT	S	200	45.82	n/a	n/a	10.00	5.0
OHIO PERS	047	MHP	B	10,800	45.06	n/a	n/a	324.00	0.0
NEUBERGER BERMAN	036	MTX	S	4,272	42.28	n/a	n/a	170.88	0.0
LOMAS CAPITAL	040	MWV	B	50,000	35.57	n/a	19-Feb	1,500.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	M	SS	25,000	40.24	n/a	8-Feb	750.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	29.67	n/a	25-Jan	400.00	4.0
HIGHBRIDGE CAP	041	OIH	SS	3,500	44.52	n/a	n/a	70.00	2.0
HIGHBRIDGE CAP	041	OII	S	2,500	63.12	n/a	n/a	50.00	2.0
NORTHWESTERN MUTUAL LIFE	047	PBI	B	76,700	13.55	n/a	n/a	3,068.00	0.0
BRONSON POINT	036	SEE	S	50,000	21.51	n/a	2-Jun	1,500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SLM	B	10,000	19.10		n/a 13-Feb	300.00	3.0
PROSPECTOR PARTNERS LLC	036	SVU	S	35,000	3.84	n/a	n/a	1,400.00	4.0
ROTHSCHILD ASSET	040	TECD	S	22,715	53.99	n/a	n/a	908.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	TGT	B	25,000	61.88	n/a	7-Feb	750.00	3.0
NEUBERGER BERMAN	036	TISI	B	9,900	45.25	n/a	n/a	396.00	0.0
HIGHBRIDGE CAP	041	TSO	S	2,000	54.25	n/a	n/a	60.00	3.0
NEUBERGER BERMAN	036	TYL	B	17,273	55.55	n/a	n/a	690.92	0.0
NEUBERGER BERMAN	036	TYPE	B	11,200	21.36	n/a	n/a	448.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	VFC	SS	7,500	163.23	n/a	19-Feb	225.00	3.0
KINGDON ASSET MGMT	041	WMT	SS	40,000	69.03	n/a	12-Feb	1,600.00	0.0
OZ MGMT	040	WMT	C	76,600	69.10	n/a	12-Feb	2,298.00	0.0
HIGHBRIDGE CAP	041	XLB	B	25,500	39.24	n/a	n/a	510.00	2.0
HIGHBRIDGE CAP	041	XLI	SS	36,500	41.28	n/a	n/a	730.00	2.0
TOTAL (Trade Date):								72,233.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/15	ROTHSCHILD ASSET (ROTH300110)	040	CMO	S	1,582	12.26	n/a	n/a	63.28	0.0
AO,CXL	02/15	ROTHSCHILD ASSET (ROTH300100)	040	CMO	S	1,582	12.26	n/a	n/a	63.28	0.0
AO,	02/14	EPOCH INV MGMT (EPOCPRUCON)	030	CTL	B	200	33.00	n/a	n/a	6.00	0.0
AO,CXL	02/14	EPOCH INV MGMT (EPOCPRUCHO)	030	CTL	B	200	33.00	n/a	n/a	6.00	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	72,233.39
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	72,233.39
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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