



Daily Compliance Activity Report

Trade Date: 02/14/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	AON	B	11,800	57.39	n/a	n/a	472.00	0.0
MOORE CAPITAL	041	APA	B	50,000	83.36	n/a	14-Feb	1,500.00	0.0
DC CAPITAL	044	BA	S	25,000	74.92	n/a	6-Feb	1,000.00	4.0
HEIGHTS CAPITAL	251	BLL	SS	14,339	45.23	n/a	n/a	573.56	0.0
ARSENAL ASSET MANAGEMENT	028	BWA	SS	5,000	75.10	n/a	14-Feb	200.00	0.0
HEIGHTS CAPITAL	251	CCK	B	21,500	39.69	n/a	n/a	860.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	CMG	B	2,500	315.18	n/a	6-Feb	75.00	3.0
BASSWOOD PARTNERS	267	COF	B	19,700	54.87	n/a	14-Feb	788.00	0.0
EPOCH INV MGMT	030	CTL	B	100,000	33.00	n/a	n/a	3,000.00	0.0
SANDLER CAPITAL	028	CTXS	B	125,000	71.98	n/a	n/a	5,000.00	0.0
PROSPECTOR PARTNERS LLC	036	CVC	S	10,000	15.19	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	CW	S	10,000	36.59	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CXW	B	13,000	37.67	n/a	n/a	520.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	DAL	B	50,000	14.45	n/a	11-Feb	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GOLD SACHS SPECIAL SIT	030	DAN	S	102,500	17.13	n/a	15-Jan	5,125.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	DLTR	B	40,000	39.94	n/a	12-Feb	1,200.00	3.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	S	25,000	38.81	n/a	12-Feb	750.00	3.0
T. ROWE PRICE	243	DLTR	B	211,810	39.71	n/a	12-Feb	8,472.40	0.0
RAINIER INV MGMT	033	DSW	S	14,130	67.85	n/a	11-Feb	565.20	0.0
ROARING BLUE LION MGMT	031	EAT	SS	46,900	32.04	n/a	28-Jan	1,876.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	EL	S	14,000	63.34	n/a	6-Feb	420.00	3.0
PROSPECTOR PARTNERS LLC	036	FBHS	S	5,000	34.33	n/a	n/a	200.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	18.89	n/a	14-Feb	400.00	4.0
HEIGHTS CAPITAL	251	F	B	398,340	13.11	n/a	14-Feb	15,933.60	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GEO	B	2,000	33.29	n/a	n/a	80.00	4.0
ALLIANZ/NICOLAS APPLEGATE	084	GE	B	44,100	23.25	n/a	n/a	882.00	0.0
HEIGHTS CAPITAL	251	GM	S	145,211	27.82	n/a	14-Feb	5,808.44	0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	15,000	28.83	n/a	14-Feb	600.00	4.0
RIDGECREST INV MGMT LLC	028	GM	B	10,000	27.84	n/a	14-Feb	400.00	4.0
ROSEDALE CAPITAL	046	GM	B	10,000	27.75	n/a	14-Feb	500.00	5.0
SCOPUS FUND	041	GM	B	50,000	27.76	n/a	14-Feb	2,000.00	4.0
TROUBH PART	070	GM	B	25,000	28.26	n/a	14-Feb	1,250.00	5.0
VERITION	028	GM	B	15,000	28.28	n/a	14-Feb	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	044	GM	B	75,000	28.08	n/a	14-Feb	3,000.00	4.0
FARALLON CAP MGMT	040	GNC	SS	25,000	38.12	n/a	n/a	1,000.00	4.0
GEORGE WEISS	278	HUM	SS	10,000	77.97	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	JBLU	B	40,000	5.89	n/a	11-Feb	1,200.00	3.0
COOPER CREEK PART	028	JNY	SS	10,000	11.88	n/a	14-Feb	400.00	4.0
HIGHLINE ADV	044	KOG	B	16,300	9.20	n/a	n/a	815.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,050	36.94	n/a	7-Feb	502.50	5.0
BRIGADE CAPITAL MGMT	029	LCC	S	50,000	14.21	n/a	14-Feb	1,500.00	0.0
CYRUS CAPITAL	025	LCC	B	252,250	13.62	n/a	14-Feb	7,567.50	3.0
PAR CAPITAL	268	LCC	B	200,000	14.21	n/a	14-Feb	8,000.00	0.0
STANDARD PACIFIC CAPITAL	084	LCC	B	133,800	13.69	n/a	14-Feb	6,690.00	5.0
BASSWOOD PARTNERS	267	LEA	B	4,000	55.18	n/a	12-Feb	160.00	0.0
STANDARD PACIFIC CAPITAL	084	LEA	B	163,830	54.87	n/a	12-Feb	8,191.50	5.0
HARVEST MGMT (JMP)	029	LULU	SS	5,000	66.60	n/a	13-Feb	200.00	4.0
SENATOR INVESTMENT GROUP	036	LUV	SS	200,000	11.42	n/a	11-Feb	6,000.00	3.0
PALESTRA	040	MDLZ	S	100,000	26.80	n/a	n/a	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	MHP	S	20,700	44.68	n/a	n/a	828.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	100.08	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	31.58	n/a	30-Jan	1,250.00	5.0
OSKIE CAPITAL MGMT	224	MWV	B	45,000	31.64	n/a	30-Jan	2,250.00	5.0
PROSPECTOR PARTNERS LLC	036	NRG	S	10,000	24.05	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	NUAN	B	40,000	19.01	n/a	n/a	1,200.00	3.0
SCOPUS FUND	041	OI	S	10,300	26.07	n/a	n/a	412.00	4.0
CR INTRINIC INVESTMENT	044	OMX	S	30,000	10.80	n/a	n/a	900.00	3.0
BAIRD INVESTMENT	047	PCP	S	2,305	184.87	n/a	5-Feb	115.25	0.0
MAIRS AND POWER INV	030	QCOM	B	10,000	65.40	n/a	n/a	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	10,000	82.59	n/a	5-Feb	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SPY	SS	3,000	152.27	n/a	n/a	120.00	4.0
BNP PARIBAS SEC	040	TGT	S	30,000	63.27	n/a	7-Feb	900.00	3.0
SENATOR INVESTMENT GROUP	036	TGT	SS	60,000	63.19	n/a	7-Feb	1,800.00	3.0
FARALLON CAP MGMT	040	TIF	B	33,999	63.15	n/a	n/a	1,359.96	4.0
SCOPUS FUND	041	TRW	S	20,987	59.93	n/a	n/a	839.48	4.0
BALYASNY ASSET MGMT	044	TSCO	SS	10,000	104.01	n/a	n/a	500.00	0.0
LATEEF MGMT	033	TSN	S	2,000	24.10	n/a	n/a	217.50	11.6

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	UAL	B	45,356	25.29	n/a	11-Feb	1,814.24	0.0
BASSWOOD PARTNERS	267	USB	C	7,524	33.87	n/a	n/a	300.96	0.0
KAM ADVISORS LLC	041	X	C	79,000	23.45	n/a	n/a	2,370.00	0.0
TOTAL (Trade Date):							130,405.09		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/13	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	COH	B	200,000	49.12	n/a	14-Feb	6000.00 3.0
AO,CRT	02/13	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	COH	B	50,000	49.12	n/a	14-Feb	1500.00 3.0
AO,	02/13	ADAGE CAPITAL MGMT (ADAGCSFB)	030	COH	B	150,000	49.12	n/a	14-Feb	4500.00 0.0
CRT	02/14	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	DAN	S	102,500	17.13	n/a	15-Jan	5125.00 5.0
CRT	02/14	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	DLTR	S	25,000	38.81	n/a	12-Feb	750.00 3.0
CRT	02/14	PATRIOT STRATEGY PARTNERS (PATRJPM)	036	GM	B	15,000	28.83	n/a	14-Feb	600.00 4.0

TOTAL (AO, CXL, CRT) :	6,475.00
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TOTAL (Trade Date) :	130,405.09
TOTAL (AO, CXL, CRT) :	6,475.00

TOTAL (RUN DATE) / NFS :	136,880.09
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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