



Daily Compliance Activity Report

Trade Date: 01/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ANN	B	50,000	32.04	n/a	n/a	1,750.00	3.5
ROSEDALE CAPITAL	046	AXL	B	20,000	11.03	n/a	17-Jan	800.00	4.0
WEISS PECK - ROBECO INV		040	BGFV	SS	5,100	14.22	n/a	n/a	255.00 0.0
CRAMER ROSENTHAL	070	BMC	B	250	43.81	n/a	n/a	10.00	0.0
DELTEC ASSET MGMT.	040	CAM	B	14,000	58.72	n/a	n/a	700.00	5.0
CRAMER ROSENTHAL	070	CCJ	B	500	21.51	n/a	n/a	20.00	0.0
FARALLON CAP MGMT	040	CHKP	S	55,000	48.12	n/a	n/a	1,650.00	3.0
OMEGA ADVISORS	041	COF	B	278,000	56.77	n/a	18-Jan	11,120.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	DD	B	40,000	46.73	n/a	18-Jan	1,200.00	3.0
OHIO PERS	047	DHR	S	23,100	59.81	n/a	n/a	693.00	0.0
BRIGADE CAPITAL MGMT	029	DYN	B	100,000	19.98	n/a	n/a	3,000.00	0.0
CRAMER ROSENTHAL	070	EL	B	100	62.82	n/a	21-Dec	4.00	0.0
COUGAR TRADING	044	FINL	S	10,000	17.75	n/a	4-Jan	500.00	5.0
ALLIANZ/NICOLAS APPLGATE	084	FLR	S	27,100	62.85	n/a	n/a	542.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OTTER CREEK MGMT	093	FL	B	20,000	33.44	n/a	21-Dec	1,000.00	5.0
IONIC CAPITAL MANAGEMENT	041	GEO	SS	11,500	32.82	n/a	n/a	345.00	0.0
CRAMER ROSENTHAL	070	GIS	B	250	41.21	n/a	n/a	10.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	12.11	n/a	18-Jan	1,000.00	5.0
TIDE POINT CAPITAL	028	GPI	B	9,000	64.89	n/a	11-Jan	270.00	3.0
CRAMER ROSENTHAL	070	HOG	B	200	51.90	n/a	n/a	8.00	0.0
CRAMER ROSENTHAL	070	HSP	B	300	34.90	n/a	16-Jan	12.00	0.0
MATRIX ASSET ADV.	091	JCI	B	1,425	30.60	n/a	10-Jan	57.00	4.0
CRAMER ROSENTHAL	070	JWN	B	200	55.41	n/a	4-Jan	8.00	0.0
CRAMER ROSENTHAL	070	KRFT	B	200	46.90	n/a	n/a	8.00	0.0
CORVEX CAPITAL	041	LEA	B	100,000	47.79	n/a	14-Jan	3,000.00	0.0
J. GOLDMAN	028	LEA	B	6,000	47.73	n/a	14-Jan	240.00	4.0
J. GOLDMAN	028	LEA	SS	6,000	48.05	n/a	14-Jan	240.00	4.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086	NFLX	S	1,466	101.00	n/a	n/a	43.98	0.0
ROTHSCHILD ASSET	040	PCL	S	13,634	46.91	n/a	18-Jan	545.36	0.0
WADDELL AND REED	047	PFE	S	469,500	26.49	n/a	n/a	18,780.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	PH	B	15,200	90.71	n/a	n/a	456.00	0.0
ASCEND PARTNERS	033	PVH	B	3,500	116.18	n/a	17-Jan	105.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	25,000	74.55	n/a	17-Jan	1,250.00	5.0
CORNERSTONE	030	RL	B	36,835	167.68	n/a	5-Nov	1,105.05	0.0
OHIO PERS	047	RTN	S	10,000	57.75	n/a	15-Jan	300.00	0.0
OHIO PERS	047	SAPE	S	6,400	11.84	n/a	n/a	192.00	0.0
WEISS PECK - ROBECO INV		040	SCVL	SS	6,900	20.79	n/a	n/a	345.00 0.0
SYMPHONY ASSET	033	TSN	C	52,020	21.86	n/a	n/a	1,560.60	0.0
MILLRACE FUND LP	028	TXRH	B	15,800	18.35	n/a	n/a	632.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	30.53	n/a	18-Jan	750.00	5.0
TOTAL (Trade Date) :								54,506.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/17	CASTLEROCK (CASTMERRIL)	040	CMG	SS	109	291.16	n/a	17-Jan	4.36 0.0
AO,	01/17	CASTLEROCK (CASTUBS)	040	CMG	SS	891	291.16	n/a	17-Jan	35.64 0.0
AO,	01/17	CORVEX CAPITAL (CORVJPMPB)	041	LEA	B	22,500	48.68	n/a	14-Jan	675.00 0.0
AO,	01/17	CORVEX CAPITAL (CORVGSPB)	041	LEA	B	22,500	48.68	n/a	14-Jan	675.00 0.0
TOTAL (AO, CXL, CRT) :										1,390.00

TOTAL (Trade Date) :	54,506.99
TOTAL (AO, CXL, CRT) :	1,390.00

TOTAL (RUN DATE) / NFS :	55,896.99
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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