



Daily Compliance Activity Report

Trade Date: 01/11/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
T. ROWE PRICE	243	AGN	B	26,800	103.36	n/a	11-Jan	1,072.00	0.0
BRONSON POINT	036	ALV	SS	10,000	65.11	n/a	11-Jan	300.00	0.0
CASTLEROCK	040	ALV	SS	33,433	65.13	n/a	11-Jan	1,337.32	0.0
DEVENNY CAP LLC/MILLENIU	044	ALV	SS	2,000	65.20	n/a	11-Jan	60.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	47.87	n/a	n/a	875.00	3.5
SENATOR INVESTMENT GROUP	036	ASH	B	75,000	85.45	n/a	17-Dec	2,250.00	3.0
TEMAGAMI CAPITAL	041	ATK	B	5,400	65.46	n/a	n/a	216.00	4.0
ROSEDALE CAPITAL	046	AXL	B	20,000	11.25	n/a	11-Jan	800.00	4.0
TUDOR INVESTORS	028	AXL	B	30,000	11.44	n/a	11-Jan	900.00	3.0
MERRILL ASSET/BLACKROCK	297	BAP	S	4,100	153.73	n/a	n/a	164.00	0.0
CASTLEROCK	040	BA	SS	37,918	75.12	n/a	10-Jan	1,516.72	0.0
TUDOR INVESTORS	028	BA	B	5,000	75.40	n/a	10-Jan	150.00	3.0
PORTER-ORLIN	044	BBY	B	100,000	13.64	n/a	n/a	4,000.00	4.0
UBS OCONNOR	031	BEN	B	20,000	135.52	n/a	2-Mar	600.00	0.0
TUDOR INVESTORS	028	BGC	S	5,000	32.34	n/a	n/a	150.00	3.0
BRANDWINE	028	BK	S	128,000	26.60	n/a	20-Dec	5,120.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		BONT	B	8,000	11.19	n/a	n/a	240.00	0.0	
CASTLEROCK	040	BWA	SS	30,369	71.62	n/a	11-Jan	1,214.76	0.0	
IMPALA ASSET MMT	040	CBT	B	154,816	42.93	n/a	6-Dec	7,740.80	0.0	
IMPALA ASSET MMT	040	CENX	B	44,400	8.62	n/a	n/a	888.00	0.0	
HIGHBRIDGE CAP	041	CF	B	2,300	218.13	n/a	n/a	69.00	3.0	
COBALT	041	CIM	B	670,000	2.79	n/a	n/a	13,400.00	2.0	
WCG MANAGEMENT	044	CMI	B	5,000	110.84	n/a	n/a	150.00	3.0	
SAFRA ASSET MGMT.	040	CVX	B	5,000	111.19	n/a	n/a	150.00	3.0	
MADISON ST PARTNERS LLC	046	C	B	15,000	42.10	n/a	7-Jan	750.00	5.0	
ACK ASSET	028	DAN	S	305,500	15.49	n/a	31-Oct	9,165.00	0.0	
CR INTRINSIC/CHRIS C	041	DAN	B	10,000	15.48	n/a	31-Oct	350.00	3.5	
TUDOR INVESTORS	028	DAN	SS	50,000	15.51	n/a	31-Oct	1,500.00	3.0	
WCG MANAGEMENT	044	DE	B	10,000	89.82	n/a	11-Jul	300.00	3.0	
DEVENNY CAP LLC/MILLENIU	044	DHR	B	2,000	59.82	n/a	n/a	60.00	0.0	
WCG MANAGEMENT	044	FFIV	S	10,000	98.07	n/a	11-Jan	300.00	3.0	
UBS OCONNOR	031	FII	S	50,000	21.96	n/a	2-Mar	1,500.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	FINL	B	10,000	17.28	n/a	4-Jan	400.00	4.0
IMPALA ASSET MMT	040	FLR	B	40,000	61.99	n/a	n/a	2,000.00	0.0
YORK CAPITAL	036	F	B	25,000	13.98	n/a	11-Jan	750.00	3.0
DEVENNY CAP LLC/MILLENIU	044	GD	B	3,000	70.88	n/a	11-Dec	90.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	30.40	n/a	11-Jan	300.00	0.0
DECADE CAPITAL PARTNERS	040	GNC	S	13,700	36.15	n/a	n/a	548.00	0.0
SAFRA ASSET MGMT.	040	HERO	S	15,000	6.40	n/a	n/a	450.00	3.0
WCG MANAGEMENT	044	JOY	B	7,000	68.31	n/a	11-Jul	210.00	3.0
DEVENNY CAP LLC/MILLENIU	044	LEA	S	11,900	47.97	n/a	11-Jan	357.00	0.0
TUDOR INVESTORS	028	LECO	SS	5,000	51.11	n/a	n/a	150.00	3.0
DEVENNY CAP LLC/MILLENIU	044	LMT	SS	2,000	94.43	n/a	11-Dec	60.00	0.0
CENTURION PARTNERS	041	NAV	S	10,000	23.23	n/a	11-Jul	400.00	4.0
DEVENNY CAP LLC/MILLENIU	044	NOC	SS	4,000	67.15	n/a	11-Dec	120.00	0.0
SYMPHONY ASSET	033	ORI	B	30,000	11.46	n/a	n/a	900.00	0.0
WAGONHOUND/NICOLAS	033	PAG	S	17,000	30.57	n/a	5-Nov	680.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	PCP	B	2,000	187.75	n/a	11-Dec	60.00	3.0
HIGHBRIDGE CAP	041	PTEN	SS	27,000	19.00	n/a	n/a	810.00	3.0
IMPALA ASSET MMT	040	QCOM	B	50,000	64.92	n/a	n/a	2,500.00	0.0
VERITION	028	ROC	B	5,000	50.79	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	TEX	S	50,000	29.19	n/a	n/a	2,000.00	0.0
TUDOR INVESTORS	028	TRW	S	5,000	54.79	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	TSM	B	100,000	18.18	n/a	n/a	4,000.00	0.0
IMPALA ASSET MMT	040	TTWO	B	150,000	12.32	n/a	n/a	4,500.00	0.0
DEVENNY CAP LLC/MILLENIU	044	TX	SS	10,000	23.14	n/a	n/a	300.00	0.0
DEVENNY CAP LLC/MILLENIU	044	VC	B	5,000	53.82	n/a	n/a	150.00	0.0
DECADE CAPITAL PARTNERS	040	VSI	B	8,900	56.13	n/a	n/a	356.00	0.0
TOTAL (Trade Date) :								79,679.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									79,679.60
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									79,679.60

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