



Daily Compliance Activity Report

Trade Date: 01/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	15	459.07	n/a	n/a	30.00	0.0
CAPITAL RESEARCH GROUP		296	AF	S	20,000	9.70	n/a 24-Jan	700.00	0.0
HEIGHTS CAPITAL	251	ASH	B	24,866	79.55	n/a	18-Jan	994.64	0.0
GEORGE WEISS	278	AXL	B	10,000	11.62	n/a	28-Jan	400.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	11.45	n/a	28-Jan	400.00	4.0
SAGE ASSET MGMT	025	AXL	B	23,500	11.61	n/a	28-Jan	1,175.00	5.0
TUDOR INVESTORS	028	AXL	B	20,000	11.56	n/a	28-Jan	600.00	3.0
WCG MANAGEMENT	044	AXL	B	50,000	11.50	n/a	28-Jan	1,500.00	3.0
MATRIX ASSET ADV.	091	BBT	B	1,000	30.56	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	CAG	B	10,000	32.77	n/a	n/a	400.00	0.0
LATEEF MGMT	033	CCK	S	125	38.56	n/a	n/a	31.25	25.0
LISTED ERR	099	CCK	B	3,400	38.45	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	COF	B	107,907	56.43	n/a	25-Jan	4,316.28	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	33.60	n/a	n/a	400.00	0.0
HEIGHTS CAPITAL	251	CYT	SS	31,014	73.56	n/a	n/a	1,240.56	0.0
TUDOR INVESTORS	028	DAN	SS	20,000	16.25	n/a	15-Jan	600.00	3.0
RIVERPARK CAPITAL	025	DLTR	B	5,870	40.38	n/a	20-Nov	293.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	DNKN	B	23,000	36.04	n/a	n/a	920.00	4.0
OTTER CREEK MGMT	093	DVN	S	10,000	57.69	n/a	30-Jan	400.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	50,000	5.33	n/a	n/a	1,500.00	0.0
COOPER CREEK PART	028	FINL	B	10,000	18.50	n/a	30-Jan	400.00	4.0
CAERUS GLOBAL	041	FNP	B	11,743	14.99	n/a	n/a	469.72	4.0
MUHLENKAMP FUND	046	F	S	87,600	13.15	n/a	30-Jan	3,504.00	4.0
TUDOR INVESTORS	028	GM	B	10,000	28.27	n/a	28-Jan	300.00	3.0
J. GOLDMAN	028	GNTX	B	30,000	19.31	n/a	30-Jan	1,200.00	4.0
CAPITAL WORLD	084	HD	S	500,000	67.40	n/a	n/a	17,500.00	0.0
MOORE CAPITAL	041	HTZ	B	25,000	18.49	n/a	n/a	750.00	0.0
NEWLAND CAPITAL MGT	025	HTZ	S	10,000	18.27	n/a	n/a	400.00	4.0
PARKWEST	084	HURN	S	2,074	34.48	n/a	n/a	62.22	3.0
NEUBERGER BERMAN	036	H	B	10,000	40.20	n/a	13-Jun	400.00	0.0
LATEEF MGMT	033	IP	S	100	41.90	n/a	30-Jan	30.00	30.0
MOORE CAPITAL	041	IP	B	25,000	41.86	n/a	30-Jan	750.00	0.0
BTG PACTUAL	040	JBLU	B	10,000	5.77	n/a	29-Jan	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-NEW VERNON	031	JFR	B	26,000	12.85	n/a	n/a	1,300.00	5.0
S.A.C. CAPITAL	044	JWN	SS	30,000	55.61	n/a	4-Jan	1,050.00	3.5
COBALT	041	KBH	B	100,000	19.08	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	036	KRFT	B	10,000	47.18	n/a	n/a	400.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	34.73	n/a	23-Jan	500.00	5.0
LIONEYE CAPITAL	040	LCC	B	14,200	14.30	n/a	30-Jan	710.00	5.0
CORVEX CAPITAL	041	LEA	B	35,000	48.85	n/a	28-Jan	1,050.00	0.0
CAPITAL WORLD	084	MAT	S	88,260	37.30	n/a	n/a	3,089.10	0.0
LOMAS CAPITAL	040	MPC	S	27,000	72.65	n/a	n/a	810.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	40,000	31.98	n/a	30-Jan	2,000.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	B	30,000	31.54	n/a	30-Jan	900.00	3.0
OHIO PERS	047	M	S	34,000	39.60	n/a	14-Jan	1,020.00	0.0
NEUBERGER BERMAN	036	NFG	B	5,000	54.66	n/a	n/a	200.00	0.0
LATEEF MGMT	033	NUE	S	125	46.63	n/a	n/a	31.25	25.0
LATEEF MGMT	033	NYCB	S	300	12.99	n/a	30-Jan	30.00	10.0
SANDLER O'NEILL ASSET	031	NYCB	B	50,000	12.99	n/a	30-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	OIH	C	113,050	43.42	n/a	n/a	3,391.50	0.0
JET CAPITAL/CHRIS	041	OIS	S	66,500	77.32	n/a	n/a	1,995.00	0.0
NEUBERGER BERMAN	036	OMC	B	10,000	54.44	n/a	n/a	400.00	0.0
DELTEC ASSET MGMT.	040	OXY	B	18,000	86.16	n/a	n/a	900.00	5.0
PALESTRA	040	PBI	SS	18,000	12.12	n/a	n/a	540.00	3.0
DECADE CAPITAL CHRIS C	041	PCAR	B	10,000	48.02	n/a	n/a	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	42.97	n/a	30-Jan	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	15,000	48.51	n/a	30-Jan	750.00	5.0
CAMBIAR CAP	046	PG	S	104,288	75.11	n/a	30-Jan	4,171.52	0.0
LATEEF MGMT	033	PG	S	75	75.38	n/a	30-Jan	22.50	30.0
NEUBERGER BERMAN	036	SEE	B	25,000	18.70	n/a	2-Jun	1,000.00	0.0
HOPLITE MGMT	025	SHW	S	4,672	162.16	n/a	18-Jan	186.88	0.0
DPB CAPITAL	029	SIRI	B	10,000	3.18	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	SMG	B	10,000	43.84	n/a	29-Jan	400.00	0.0
FINDLAY PARK PART	085	STT	B	146,000	56.09	n/a	30-Jan	12,283.01	0.0
OHIO PERS	047	UNP	S	11,000	130.62	n/a	n/a	330.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	VC	B	5,000	56.04	n/a	n/a	200.00	0.0
GATOR CAPITAL MGMT LLC	093	VLV	SS	10,000	9.67	n/a	n/a	300.00	3.0
BRANDWINE	028	WMT	B	189,430	69.78	n/a	15-Nov	7,577.20	0.0
BRONSON POINT	036	XLP	SS	100,000	36.95	n/a	n/a	3,000.00	0.0
CASTLEROCK	040	YUM	SS	10,000	63.72	n/a	28-Jan	400.00	0.0
TOTAL (Trade Date):								101,095.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	14,282	13.23	n/a	30-Jan	428.46 0.0
AO,	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	14,393	13.23	n/a	30-Jan	431.79 0.0
AO,	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	14,180	13.23	n/a	30-Jan	425.40 0.0
AO,	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	392,093	13.23	n/a	30-Jan	11762.79 0.0
AO,CXL	01/29	OZ MGMT (OZFFCSFB)	040	F	B	1,494	13.23	n/a	30-Jan	44.82 0.0
AO,CXL	01/29	OZ MGMT (OZFFCSFB)	040	F	B	10,354	13.23	n/a	30-Jan	310.62 0.0
AO,	01/29	OZ MGMT (OZFFCSFB)	040	F	B	4,725	13.23	n/a	30-Jan	141.75 0.0
AO,	01/29	OZ MGMT (OZFFCSFB)	040	F	B	10,280	13.23	n/a	30-Jan	308.40 0.0
AO,CXL	01/29	OZ MGMT (OZFFMS)	040	F	B	9,329	13.23	n/a	30-Jan	279.87 0.0
AO,	01/29	OZ MGMT (OZFFMS)	040	F	B	9,263	13.23	n/a	30-Jan	277.89 0.0
AO,CXL	01/29	OZ MGMT (OZFFUBSWA)	040	F	B	5,102	13.23	n/a	30-Jan	153.06 0.0
AO,	01/29	OZ MGMT (OZFFUBSWA)	040	F	B	5,066	13.23	n/a	30-Jan	151.98 0.0
AO,CXL	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	394,943	13.23	n/a	30-Jan	11848.29 0.0
AO,CXL	01/29	OZ MGMT (OZFFJPMBS)	040	F	B	14,496	13.23	n/a	30-Jan	434.88 0.0
CRT	01/30	FINDLAY PARK PART (FINDAMERS)	085	STT	B	144,000	56.09	n/a	30-Jan	12114.75 0.0

TOTAL (AO, CXL, CRT) :**12,114.75**

TOTAL (Trade Date) :

101,095.13

TOTAL (AO, CXL, CRT) :

12,114.75

TOTAL (RUN DATE) / NFS:**113,209.88**

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