



## Daily Compliance Activity Report

Trade Date: 01/31/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                         | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |     |
|---------------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| COUGAR TRADING                  | 044  | ALV    | B   | 5,000   | 66.33 | n/a | 31-Jan   | 250.00       | 5.0 |
| COUGAR TRADING                  | 044  | ALV    | SS  | 5,000   | 65.99 | n/a | 31-Jan   | 250.00       | 5.0 |
| ESENCIAL CAPITAL                | 031  | ALV    | B   | 4,000   | 65.74 | n/a | 31-Jan   | 80.00        | 2.0 |
| MILLRACE FUND LP                | 028  | ALV    | B   | 9,000   | 65.92 | n/a | 31-Jan   | 360.00       | 0.0 |
| OZ MGMT                         | 040  | ALV    | C   | 86,079  | 65.96 | n/a | 31-Jan   | 2,582.37     | 0.0 |
| LISTED ERR                      | 099  | ALV    | B   | 1,600   | 66.26 | n/a | 31-Jan   | 0.00         | 0.0 |
| LISTED ERR                      | 099  | ALV    | S   | 1,600   | 65.62 | n/a | 31-Jan   | 0.00         | 0.0 |
| HOLLIS CAPITAL                  | 033  | APC    | B   | 3,000   | 79.66 | n/a | 31-Jan   | 150.00       | 5.0 |
| TUDOR INVESTORS                 | 028  | ASH    | S   | 5,000   | 79.45 | n/a | 18-Jan   | 150.00       | 3.0 |
| TUDOR INVESTORS                 | 028  | AXLL   | SS  | 5,000   | 53.37 | n/a | n/a      | 150.00       | 3.0 |
| DELTEC ASSET MGMT.              | 040  | BA     | B   | 5,000   | 74.09 | n/a | 30-Jan   | 250.00       | 5.0 |
| CATAPULT CAP/DEFRANCO           | 040  | BLL    | SS  | 40,371  | 44.75 | n/a | n/a      | 1,614.84     | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251  | BRE    | B   | 5,000   | 51.25 | n/a | n/a      | 200.00       | 4.0 |
| TUDOR INVESTORS                 | 028  | CCK    | SS  | 10,000  | 38.58 | n/a | n/a      | 300.00       | 3.0 |
| TUDOR INVESTORS                 | 028  | CHRW   | B   | 3,000   | 66.78 | n/a | n/a      | 90.00        | 3.0 |
| OZ MGMT                         | 040  | CIEN   | S   | 100,556 | 15.49 | n/a | n/a      | 3,016.68     | 0.0 |
| CAMBIAR CAP                     | 046  | COF    | B   | 300,000 | 56.39 | n/a | 25-Jan   | 12,000.00    | 0.0 |

| Account                     | RR #      | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |           |     |
|-----------------------------|-----------|--------|-----|---------|-------|-----|----------|-------------|-----------|-----|
| GUGGENHEIM GLOBAL TRADING   | (GGT) 251 | CPWR   | B   | 20,000  | 11.59 |     | n/a      | n/a         | 600.00    | 3.0 |
| SANDLER O'NEILL ASSET       | 031       | DFS    | B   | 7,900   | 37.61 |     | n/a      | 28-Jan      | 395.00    | 5.0 |
| SCOUT/UMB                   | 047       | DG     | S   | 54,423  | 46.35 |     | n/a      | 12-Dec      | 1,632.69  | 0.0 |
| MAIRS AND POWER INV         | 030       | DIS    | B   | 10,000  | 53.96 |     | n/a      | n/a         | 500.00    | 5.0 |
| KINGDON ASSET MGMT          | 041       | DNKN   | B   | 15,000  | 36.45 |     | n/a      | n/a         | 600.00    | 0.0 |
| GUGGENHEIM GLOBAL TRADING   | (GGT) 251 | DVN    | B   | 10,000  | 57.30 |     | n/a      | 31-Jan      | 400.00    | 4.0 |
| GEORGE WEISS                | 278       | EXPE   | C   | 40,000  | 64.99 |     | n/a      | n/a         | 1,200.00  | 0.0 |
| BRIGADE CAPITAL MGMT        | 029       | FCH    | B   | 23,000  | 5.32  |     | n/a      | n/a         | 690.00    | 0.0 |
| SCOUT/UMB                   | 047       | FDO    | S   | 33,901  | 57.09 |     | n/a      | 4-Jan       | 1,017.03  | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040       | F      | B   | 100,000 | 12.90 |     | n/a      | 31-Jan      | 3,000.00  | 3.0 |
| OZ MGMT                     | 040       | F      | B   | 416,297 | 12.95 |     | n/a      | 31-Jan      | 12,488.91 | 0.0 |
| ROSEDALE CAPITAL            | 046       | F      | B   | 25,000  | 12.89 |     | n/a      | 31-Jan      | 1,000.00  | 4.0 |
| SCHOTTENFELD ASSOC          | 041       | F      | B   | 50,000  | 12.86 |     | n/a      | 31-Jan      | 1,500.00  | 0.0 |
| VISIUM/BALY BOBBY           | 044       | F      | B   | 10,000  | 12.86 |     | n/a      | 31-Jan      | 500.00    | 0.0 |
| CASTLEROCK                  | 040       | GM     | B   | 96,565  | 28.04 |     | n/a      | 31-Jan      | 3,862.60  | 4.0 |
| TUDOR INVESTORS             | 028       | GM     | B   | 10,000  | 28.10 |     | n/a      | 31-Jan      | 300.00    | 3.0 |
| EPOCH INV MGMT              | 030       | HAYN   | B   | 200     | 50.50 |     | n/a      | n/a         | 6.00      | 0.0 |
| CAPITAL WORLD               | 084       | HD     | S   | 275,000 | 67.38 |     | n/a      | n/a         | 9,625.00  | 0.0 |

| Account                             | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |          |     |
|-------------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|----------|-----|
| GUGGENHEIM GLOBAL TRADING (GGT) 251 |      | HES    | B   | 2,500   | 66.60  |     | n/a      | n/a         | 100.00   | 4.0 |
| SYMPHONY ASSET                      | 033  | HMSY   | S   | 18,690  | 27.30  | n/a | n/a      |             | 560.70   | 0.0 |
| CRAMER ROSENTHAL                    | 070  | HSH    | B   | 116,175 | 30.94  | n/a | n/a      |             | 4,647.00 | 0.0 |
| HOPLITE MGMT                        | 025  | HSH    | S   | 25,000  | 30.95  | n/a | n/a      |             | 1,000.00 | 0.0 |
| KINGDON ASSET MGMT                  | 041  | KRFT   | SS  | 20,000  | 46.26  | n/a | n/a      |             | 800.00   | 0.0 |
| SANDLER O'NEILL ASSET               | 031  | LAZ    | B   | 8,800   | 34.76  | n/a | 23-Jan   |             | 440.00   | 5.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 |      | LEA    | B   | 21,000  | 48.58  |     | n/a      | 28-Jan      | 840.00   | 4.0 |
| GEORGE WEISS                        | 278  | LEG    | B   | 42,000  | 29.78  | n/a | n/a      |             | 1,680.00 | 0.0 |
| CASTLE ARK                          | 031  | MA     | B   | 20,110  | 520.42 | n/a | 31-Jan   |             | 1,005.50 | 0.0 |
| DALTON GREINER                      | 070  | MLI    | B   | 7,500   | 53.37  | n/a | 31-Jan   |             | 375.00   | 0.0 |
| ROTHSCHILD ASSET                    | 040  | MOGA   | B   | 3,201   | 43.90  | n/a | n/a      |             | 128.04   | 0.0 |
| CSFB GLOBAL PROPRIETARY             | 041  | MWV    | B   | 20,000  | 31.34  | n/a | 30-Jan   |             | 1,000.00 | 5.0 |
| FIRST NEW YORK                      | 086  | NOK    | S   | 20,000  | 3.89   | n/a | n/a      |             | 800.00   | 4.0 |
| WEDBUSH/PACIFIC GROWTH EQTY LLC084  |      | NYCB   | B   | 25,000  | 13.16  |     | n/a      | 30-Jan      | 1,000.00 | 4.0 |
| TUDOR INVESTORS                     | 028  | ODFL   | SS  | 5,000   | 36.93  | n/a | n/a      |             | 150.00   | 3.0 |
| CATAPULT CAP/DEFRANCO               | 040  | OI     | B   | 64,373  | 23.97  | n/a | n/a      |             | 2,574.92 | 0.0 |

| Account                             | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|-------------------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| KAM ADVISORS LLC                    | 041  | PCP    | S   | 24,600 | 183.50 | n/a | 24-Jan   | 738.00      | 0.0 |
| TUDOR INVESTORS                     | 028  | PH     | SS  | 5,000  | 93.53  | n/a | n/a      | 150.00      | 3.0 |
| TUDOR INVESTORS                     | 028  | PPG    | B   | 5,000  | 139.61 | n/a | 18-Jan   | 150.00      | 3.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 |      | RIG    | B   | 1,000  | 56.69  |     | n/a n/a  | 40.00       | 4.0 |
| SUFFOLK CAPITAL MGMT                | 040  | RL     | S   | 14,900 | 165.50 | n/a | 5-Nov    | 596.00      | 0.0 |
| S.A.C. CAPITAL                      | 044  | SCSS   | SS  | 15,000 | 22.01  | n/a | n/a      | 525.00      | 3.5 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 |      | SUSS   | S   | 4,897  | 41.64  |     | n/a n/a  | 195.88      | 4.0 |
| KAM ADVISORS LLC                    | 041  | TDG    | S   | 32,700 | 136.33 | n/a | n/a      | 981.00      | 0.0 |
| 1798 CAP/LOMBARD ASSET              | 040  | TGI    | B   | 5,000  | 69.24  | n/a | n/a      | 250.00      | 0.0 |
| DELTEC ASSET MGMT.                  | 040  | TWC    | B   | 5,000  | 90.99  | n/a | n/a      | 250.00      | 5.0 |
| MACELLUM CAPITAL                    | 086  | UA     | SS  | 42,000 | 50.86  | n/a | 31-Jan   | 1,260.00    | 0.0 |
| ROYCE TRADING                       | 031  | UNT    | B   | 5,700  | 47.69  | n/a | 31-Jan   | 285.00      | 0.0 |
| 1798 CAP/LOMBARD ASSET              | 040  | URI    | B   | 8,000  | 50.19  | n/a | 17-Apr   | 400.00      | 0.0 |
| CSFB GLOBAL PROPRIETARY             | 041  | XLB    | SS  | 50,000 | 39.17  | n/a | n/a      | 2,500.00    | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) 251 |      | YHOO   | B   | 10,000 | 19.60  |     | n/a n/a  | 300.00      | 3.0 |

| Account                     | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr.     |     |
|-----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| NOMURA/ANGEL LANE PRINCIPAL | 040  | YUM    | B   | 150,000 | 65.07 | n/a | 28-Jan   | 4,500.00         | 3.0 |
| TUDOR INVESTORS             | 028  | ZUMZ   | B   | 23,500  | 20.99 | n/a | n/a      | 705.00           | 3.0 |
| <b>TOTAL (Trade Date):</b>  |      |        |     |         |       |     |          | <b>91,688.16</b> |     |

**Cancel/Corrects and As-Of Trades**

| Type | Date  | Account                                         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| CRT  | 01/31 | HOLLIS CAPITAL (HOLLBS)                         | 033  | APC    | B   | 3,000  | 79.66 | n/a | 31-Jan   | 150.00 5.0  |
| CRT  | 01/31 | WEDBUSH/PACIFIC GROWTH EQTY LLC (WEDBMAINAC)084 |      | NYCB   | B   | 12,500 | 13.16 | n/a | 30-Jan   | 500.00 4.0  |
| CRT  | 01/31 | WEDBUSH/PACIFIC GROWTH EQTY LLC (WEDBPACGRW)084 |      | NYCB   | B   | 12,500 | 13.16 | n/a | 30-Jan   | 500.00 4.0  |

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**TOTAL (AO, CXL, CRT) :****1,150.00**

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**TOTAL (Trade Date) :****91,688.16****TOTAL (AO, CXL, CRT) :****1,150.00**

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**TOTAL (RUN DATE) / NFS:****92,838.16**

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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