



## Daily Compliance Activity Report

Trade Date: 02/04/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOOSTER CAPITAL	044	ALV	B	10,000	64.94	n/a	1-Feb	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	31.14	n/a	n/a	1,750.00	3.5
MILLENNIUM-NEW VERNON	031	AXL	B	87,000	11.91	n/a	4-Feb	4,350.00	5.0
IONIC CAPITAL MANAGEMENT	041	BHP	SS	4,400	78.10	n/a	n/a	132.00	3.0
DENVER INST. ADV	046	BWS	B	55,000	17.23	n/a	n/a	2,200.00	0.0
DEVENNY CAP LLC/MILLENIUM	044	CLF	S	2,600	38.00	n/a	n/a	78.00	0.0
CASTLEROCK	040	CMG	SS	3,515	309.67	n/a	4-Feb	140.60	4.0
HALCYON LLC	041	DAN	B	3,539	16.04	n/a	15-Jan	106.17	3.0
HALCYON LLC	041	DLPH	B	3,539	38.95	n/a	n/a	106.17	3.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	35,116	30.61	n/a	1-Feb	1,053.48	0.0
CHARTER OAK	033	ESRX	B	20,000	54.10	n/a	n/a	1,000.00	5.0
DSG CAPITAL	030	FINL	B	4,200	18.29	n/a	30-Jan	126.00	3.0
HALCYON LLC	041	F	B	3,539	12.91	n/a	4-Feb	106.17	3.0
CAERUS GLOBAL	041	HAIN	S	1,400	57.40	n/a	n/a	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL WORLD	084	HD	S	18,196	67.12	n/a	n/a	636.86	0.0
HALCYON LLC	041	JCI	B	3,539	30.85	n/a	22-Jan	106.17	3.0
CASTLEROCK	040	JNY	SS	45,748	11.75	n/a	4-Feb	1,829.92	4.0
CASTLEROCK	040	KSS	SS	6,049	45.01	n/a	1-Feb	241.96	4.0
HALCYON LLC	041	LEA	B	3,539	49.42	n/a	4-Feb	106.17	3.0
WEXFORD CAPITAL	284	LEA	B	15,000	49.49	n/a	4-Feb	450.00	3.0
MACELLUM CAPITAL	086	LTM	B	53,000	40.26	n/a	n/a	1,590.00	0.0
SENATOR INVESTMENT GROUP	036	MCK	B	95,400	102.50	n/a	n/a	2,862.00	3.0
EDGEWOOD	085	MJN	S	419,696	75.05	n/a	n/a	20,984.80	0.0
DALTON GREINER	070	MLI	B	6,400	53.27	n/a	31-Jan	320.00	0.0
CRAMER ROSENTHAL	070	NCLH	S	136,300	28.15	n/a	n/a	5,452.00	0.0
UBS OCONNOR	031	NCLH	S	50,000	28.40	n/a	n/a	1,500.00	0.0
CATAPULT/KGLT	040	OXY	B	25,000	88.06	n/a	n/a	1,000.00	0.0
SUFFOLK CAPITAL MGMT	040	PRGO	B	7,800	107.27	n/a	4-Feb	312.00	0.0
IONIC CAPITAL MANAGEMENT	041	RIO	SS	6,100	56.74	n/a	n/a	183.00	3.0
T. ROWE PRICE	243	SSI	B	50,000	22.79	n/a	1-Feb	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	TEN	B	3,539	35.99	n/a	n/a	106.17	3.0
LEVIN CAPITAL STRATEGIES	041	TIF	B	5,050	62.33	n/a	n/a	151.50	0.0
HALCYON LLC	041	TRW	B	3,539	57.68	n/a	n/a	106.17	3.0
CAPITAL GROWTH MGMT.	241	UAL	S	100,000	24.10	n/a	4-Feb	5,000.00	5.0
BRONSON POINT	036	UA	C	50,000	50.12	n/a	31-Jan	1,500.00	0.0
HALCYON LLC	041	VC	S	44,883	55.78	n/a	n/a	1,346.49	3.0
CASTLEROCK	040	VFC	SS	3,690	147.50	n/a	4-Feb	147.60	4.0
BRONSON POINT	036	VLO	S	25,000	45.00	n/a	n/a	750.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>60,287.40</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/01	CR INTRINSIC/CHRIS C (CRICCITI)	041	AGCO	SS	10,000	53.33	n/a	n/a	350.00 3.5
AO,CRT	02/01	CR INTRINSIC/CHRIS C (CRICCITI)	041	AGCO	SS	10,000	53.33	n/a	n/a	300.00 3.0
AO,CXL	02/01	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	ANN	S	50,000	30.70	n/a	n/a	1750.00 3.5
AO,CRT	02/01	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	ANN	S	50,000	30.70	n/a	n/a	1500.00 3.0
AO,CRT	01/30	RIVERPARK CAPITAL (RIVP602985)	025	DLTR	B	2,987	40.38	n/a	20-Nov	149.35 5.0
AO,CXL	01/30	RIVERPARK CAPITAL (RIVPBBHLGF)	025	DLTR	B	2,987	40.38	n/a	20-Nov	149.35 5.0
AO,CRT	01/30	RIVERPARK CAPITAL (RIVPBBHLGF)	025	DLTR	B	2,883	40.38	n/a	20-Nov	144.15 5.0
AO,CXL	01/30	RIVERPARK CAPITAL (RIVP602985)	025	DLTR	B	2,883	40.38	n/a	20-Nov	144.15 5.0
AO,CXL	02/01	S.A.C. CAPITAL (SACCML)	044	FDO	B	30,000	56.54	n/a	4-Jan	1050.00 3.5
AO,CRT	02/01	S.A.C. CAPITAL (SACCML)	044	FDO	B	30,000	56.54	n/a	4-Jan	900.00 3.0
AO,CXL	02/01	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	JOY	B	40,000	64.70	n/a	11-Jul	1600.00 0.0
AO,CRT	02/01	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	JOY	B	40,000	64.70	n/a	11-Jul	1200.00 3.0
AO,	02/01	EDGEWOOD (EDGE50067)	085	MJN	S	72	75.17	n/a	n/a	3.60 0.0
AO,CXL	02/01	EDGEWOOD (EDGE50007)	085	MJN	S	72	75.17	n/a	n/a	3.60 0.0
AO,CRT	02/01	HALCYON LLC (HALCSBSHPB)	041	STZ	B	4,696	33.40	n/a	1-Feb	140.88 3.0
AO,	02/01	HALCYON LLC (HALCDBSI)	041	STZ	B	70,304	33.40	n/a	1-Feb	2109.12 0.0
AO,CXL	02/01	HALCYON LLC (HALCMERR)	041	STZ	B	75,000	33.40	n/a	1-Feb	3000.00 0.0
AO,CRT	02/01	HALCYON LLC (HALCSBSHPB)	041	VC	S	783	57.28	n/a	n/a	23.49 3.0
AO,	02/01	HALCYON LLC (HALCDBSI)	041	VC	S	10,434	57.28	n/a	n/a	313.02 0.0
AO,CXL	02/01	HALCYON LLC (HALCMERR)	041	VC	S	11,217	57.28	n/a	n/a	448.68 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-1,712.17</b>
TOTAL (Trade Date) :									60,287.40
TOTAL (AO, CXL, CRT) :									-1,712.17
<b>TOTAL (RUN DATE) / NFS :</b>									<b>58,575.23</b>

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