



## Daily Compliance Activity Report

Trade Date: 02/11/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	AA	S	19,329	8.89	n/a	n/a	773.16	0.0
EPOCH INV MGMT	030	ABBV	S	660	35.84	n/a	n/a	19.80	0.0
EPOCH INV MGMT	030	AET	S	150	50.35	n/a	n/a	4.50	0.0
EPOCH INV MGMT	030	AIG	B	6,575	39.14	n/a	n/a	197.25	0.0
ELM RIDGE ADVISORS	044	AMAT	S	12,445	13.67	n/a	n/a	497.80	0.0
BTG PACTUAL	040	ARCO	SS	14,500	13.40	n/a	3-Jan	435.00	3.0
PARAMETER CAPITAL MGMT LLC	044	AXL	B	100,000	12.30	n/a	11-Feb	3,000.00	3.0
BNP PARIBAS SEC	040	BBY	S	50,000	15.76	n/a	n/a	1,500.00	3.0
S.A.C. CAPITAL	044	BBY	B	25,000	15.68	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	BJRI	SS	10,000	33.83	n/a	n/a	500.00	0.0
EPOCH INV MGMT	030	BUD	S	5,625	85.61	n/a	1-Feb	168.75	0.0
EPOCH INV MGMT	030	CCE	S	2,270	35.41	n/a	n/a	68.10	0.0
EPOCH INV MGMT	030	CHL	S	140	55.28	n/a	n/a	4.20	0.0
TROUBH PART	070	COH	S	10,000	48.71	n/a	4-Feb	500.00	5.0
EPOCH INV MGMT	030	CY	S	3,100	10.10	n/a	n/a	93.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PROVIDENCE EQUITY CAPITAL MARKETS LLC040		CZR	S	25,000	13.26	n/a	n/a	750.00	3.0	
EPOCH INV MGMT	030	C	B	830	43.05	n/a	7-Feb	24.90	0.0	
S.A.C. CAPITAL	044	DD	B	50,000	47.71	n/a	n/a	1,500.00	3.0	
EPOCH INV MGMT	030	DHR	S	3,685	60.59	n/a	n/a	110.55	0.0	
ARSENAL ASSET MANAGEMENT	028	DOV	B	10,000	71.43	n/a	n/a	400.00	0.0	
EPOCH INV MGMT	030	DUK	S	2,750	69.02	n/a	n/a	82.50	0.0	
EPOCH INV MGMT	030	GLD	B	3,070	159.66	n/a	n/a	92.10	0.0	
BRONSON POINT	036	GM	B	100,000	28.51	n/a	11-Feb	3,000.00	0.0	
TRELLUS PARTNERS LP	028	GM	B	3,017	28.41	n/a	11-Feb	90.51	0.0	
EPOCH INV MGMT	030	GOOG	S	70	779.24	n/a	n/a	2.10	0.0	
EPOCH INV MGMT	030	GWR	S	13,330	83.86	n/a	n/a	399.90	0.0	
MERRILL ASSET/BLACKROCK	297	HMN	B	8,100	21.23	n/a	n/a	324.00	0.0	
COBALT	041	HSP	B	50,000	35.14	n/a	28-Jan	2,000.00	4.0	
LEVIN CAPITAL STRATEGIES	041	IBM	SS	5,000	200.29	n/a	n/a	150.00	0.0	
COUGAR TRADING	044	JNY	SS	5,000	11.60	n/a	4-Feb	250.00	5.0	
BRONSON POINT	036	LEA	B	60,000	53.50	n/a	4-Feb	1,800.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISCIPLINED GROWTH INV.	030	LTD	B	2,200	45.61	n/a	n/a	110.00	0.0
EPOCH INV MGMT	030	LVS	B	4,985	53.87	n/a	13-Jun	149.55	0.0
OTTER CREEK MGMT	093	MBFI	S	19,248	22.60	n/a	n/a	769.92	0.0
LISTED ERR	099	MBFI	B	1,257	22.54	n/a	n/a	0.00	0.0
LISTED ERR	099	MBFI	S	1,257	22.55	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	MLI	S	10,000	54.53	n/a	5-Feb	300.00	3.0
NEW JERSEY DIV OF INV.	030	MON	B	48,500	101.86	n/a	n/a	1,455.00	3.0
EPOCH INV MGMT	030	MSFT	S	45,700	27.88	n/a	n/a	1,371.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	47,100	23.40	n/a	7-Feb	2,355.00	5.0
EPOCH INV MGMT	030	MUR	S	605	60.09	n/a	n/a	18.15	0.0
S.A.C. CAPITAL	044	M	SS	50,000	40.19	n/a	8-Feb	1,500.00	3.0
PATTEN & PATTEN	025	NUAN	B	1,000	19.56	n/a	n/a	50.00	5.0
EPOCH INV MGMT	030	OAK	B	150	49.47	n/a	n/a	4.50	0.0
EPOCH INV MGMT	030	OKE	S	10,475	47.56	n/a	n/a	314.25	0.0
EPOCH INV MGMT	030	PAA	S	240	53.54	n/a	n/a	7.20	0.0
EPOCH INV MGMT	030	PHYS	B	1,110	14.15	n/a	n/a	33.30	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	PVH	B	5,000	118.93	n/a	4-Feb	250.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	B	1,700	36.07	n/a	n/a	85.00	0.0
MERRILL ASSET/BLACKROCK	297	RE	B	12,300	120.55	n/a	n/a	492.00	0.0
ELM RIDGE ADVISORS	044	RF	S	25,104	7.93	n/a	n/a	1,004.16	0.0
DISCIPLINED GROWTH INV.	030	TJX	B	4,100	45.47	n/a	8-Feb	205.00	0.0
EPOCH INV MGMT	030	TRV	S	745	78.91	n/a	n/a	22.35	0.0
EPOCH INV MGMT	030	TWX	S	3,285	52.02	n/a	n/a	98.55	0.0
LEVIN CAPITAL STRATEGIES	041	UA	SS	20,250	49.43	n/a	6-Feb	607.50	0.0
ARSENAL ASSET MANAGEMENT	028	VAL	S	5,000	67.07	n/a	n/a	200.00	0.0
EPOCH INV MGMT	030	VC	S	120	56.67	n/a	n/a	3.60	0.0
LEVIN CAPITAL STRATEGIES	041	WMT	SS	15,150	70.81	n/a	15-Nov	454.50	0.0
EPOCH INV MGMT	030	YHOO	S	563	20.78	n/a	n/a	16.89	0.0
<b>TOTAL (Trade Date):</b>								<b>31,365.54</b>	

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) :									31,365.54
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									31,365.54

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