



Daily Compliance Activity Report

Trade Date: 01/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABBV	S	5,000	37.59	n/a	n/a	200.00	4.0
LOMAS CAPITAL	040	ADT	SS	56,000	46.79	n/a	n/a	1,680.00	3.0
EPOCH INV MGMT	030	AET	S	13,680	49.29	n/a	n/a	410.40	0.0
PROSPECTOR PARTNERS LLC	036	ALTE	S	10,000	30.13	n/a	n/a	400.00	4.0
J. GOLDMAN	028	ALV	B	5,000	66.20	n/a	11-Jan	200.00	4.0
WOOSTER CAPITAL	044	ALV	SS	25,000	65.46	n/a	11-Jan	1,000.00	4.0
TUDOR INVESTORS	028	ARG	B	5,000	91.75	n/a	18-Jan	150.00	3.0
TUDOR INVESTORS	028	AWI	B	5,000	55.28	n/a	n/a	150.00	3.0
GEORGE WEISS	278	AXL	S	5,000	11.83	n/a	24-Jan	200.00	0.0
BNP PARIBAS SEC	040	BC	B	20,000	34.20	n/a	n/a	600.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BKW	SS	4,700	18.10		n/a 14-Jan	141.00	3.0
TUDOR INVESTORS	028	CHRW	B	3,000	67.42	n/a	n/a	90.00	3.0
STELLIAM INV ADV	086	COH	S	25,000	51.12	n/a	24-Jan	1,000.00	0.0
MASTERS CAPITAL MANAGE	025	CREE	SS	50,000	40.89	n/a	n/a	2,000.00	4.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	CZR	B	36,188	7.88		n/a	n/a	1,085.64 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLSPRING CAPITAL	093	DAL	B	20,000	13.99	n/a	23-Jan	800.00	4.0
CR INTRINSIC/CHRIS C	041	DD	B	10,000	48.23	n/a	18-Jan	350.00	3.5
Õ Michael Ehrlich		DRL	B	2500	0.7150	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	FAST	SS	10,000	48.43	n/a	n/a	350.00	3.5
BRANDWINE	028	FB	S	86,400	31.26	n/a	n/a	3,456.00	0.0
GEORGE WEISS	278	F	B	30,000	13.90	n/a	24-Jan	1,200.00	0.0
COLUMBUS CIRCLE	036	GE	B	4,997	22.16	n/a	n/a	199.88	0.0
TROUBH PART	070	GM	B	25,000	28.87	n/a	24-Jan	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	GPI	SS	10,000	67.64	n/a	24-Jan	400.00	0.0
STRONG/MARK GRONET	030	HDNG	S	5,260	10.80	n/a	n/a	210.40	0.0
BARROW HANLEY MEWHINNEY	031	HON	B	15,000	68.96	n/a	12-Dec	525.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	89.28	n/a	n/a	200.00	0.0
STRONG/MARK GRONET	030	IO	S	2,200	6.73	n/a	n/a	66.00	0.0
TUDOR INVESTORS	028	JBHT	SS	10,000	65.68	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	JCI	B	10,000	30.90	n/a	22-Jan	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTIG/QUENTEC	041	KLIC	S	10,000	12.57	n/a	n/a	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	30,000	44.92	n/a	4-Jan	900.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	44.57	n/a	4-Jan	875.00	3.5
FIRST NY SEC/CHRIS	041	LCC	B	11,000	14.57	n/a	24-Jan	550.00	5.0
WELLSPRING CAPITAL	093	LCC	B	40,000	14.93	n/a	24-Jan	1,600.00	4.0
EPOCH INV MGMT	030	LH	S	30,800	88.09	n/a	n/a	924.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	MAPP	S	113,689	24.72	n/a	n/a	3,410.67	0.0
BTIG/QUENTEC	041	MCHP	B	15,000	33.24	n/a	n/a	450.00	3.0
BTIG/QUENTEC	041	MSFT	S	60,000	27.92	n/a	n/a	1,800.00	3.0
CHARTER OAK	033	MYL	S	50,000	28.35	n/a	24-Jan	2,500.00	5.0
DEVENNY CAP LLC/MILLENIU	044	NAV	S	6,636	24.00	n/a	11-Jul	199.08	0.0
PHILADELPHIA FINANCIAL	033	PAG	SS	20,000	32.24	n/a	5-Nov	800.00	0.0
SCOPUS FUND	041	PAG	B	20,000	33.15	n/a	5-Nov	800.00	0.0
COHE & STEERS	041	PCL	B	28,100	47.89	n/a	23-Jan	1,124.00	0.0
TUDOR INVESTORS	028	PCP	B	3,000	192.06	n/a	24-Jan	90.00	3.0
TUDOR INVESTORS	028	PCP	SS	2,000	190.24	n/a	24-Jan	60.00	3.0
HOLLIS CAPITAL	033	PFE	B	10,000	27.09	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	PLCE	B	20,000	49.56	n/a	10-Jan	1,000.00	0.0
BAIRD INVESTMENT	047	PRGO	S	7,352	101.53	n/a	24-Jan	367.60	0.0
TUDOR INVESTORS	028	PX	SS	2,000	111.41	n/a	18-Jan	60.00	3.0
BALYASNY ASSET MGMT	044	ROST	S	20,000	60.68	n/a	4-Jan	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	15,000	56.08	n/a	31-Oct	750.00	5.0
CAERUS GLOBAL	041	SBUX	S	11,250	54.45	n/a	22-Jan	450.00	4.0
ROSEDALE CAPITAL	046	STLD	S	10,000	15.40	n/a	n/a	400.00	4.0
BTIG/QUENTEC	041	STX	B	9,000	36.91	n/a	n/a	270.00	3.0
LEVIN CAPITAL STRATEGIES	041	STZ	SS	22,200	37.78	n/a	16-Jan	666.00	0.0
TUDOR INVESTORS	028	SWC	B	5,000	13.82	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	SWFT	S	5,000	12.10	n/a	n/a	150.00	3.0
FARALLON CAP MGMT	040	SWHC	B	50,000	8.90	n/a	n/a	1,000.00	2.0
BTIG/QUENTEC	041	TER	B	12,000	15.95	n/a	n/a	360.00	3.0
MERRILL ASSET/BLACKROCK	297	TRV	S	30,500	78.08	n/a	n/a	1,220.00	0.0
EPOCH INV MGMT	030	TWX	S	15,560	50.99	n/a	n/a	466.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TXT	SS	5,000	28.12	n/a	n/a	150.00	3.0
FIRST NY SEC/CHRIS	041	UAL	SS	7,000	25.38	n/a	14-Jan	350.00	5.0
BTIG/QUENTEC	041	WDC	S	6,000	48.24	n/a	n/a	180.00	3.0
COHE & STEERS	041	WY	B	78,700	31.42	n/a	24-Jan	3,148.00	0.0
LONG OAR GLOBAL INV	040	WY	B	182,000	31.38	n/a	24-Jan	7,280.00	4.0
EPOCH INV MGMT	030	YUM	S	7,610	66.48	n/a	14-Jan	228.30	0.0
GEORGE WEISS	278	YUM	SS	10,000	66.42	n/a	14-Jan	400.00	0.0
TOTAL (Trade Date) :								55,843.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/23	FINDLAY PARK PART (FINDAMERS)	085	BAC	B	1,425,000	11.38	n/a	17-Jan	24321.97	0.0
AO,CRT	01/23	FINDLAY PARK PART (FINDAMERS)	085	BAC	B	1,424,220	11.38	n/a	17-Jan	24308.66	0.0
AO,CXL	01/23	FINDLAY PARK PART (FINDRITAC)	085	BAC	B	19,000	11.38	n/a	17-Jan	324.29	0.0
AO,	01/23	FINDLAY PARK PART (FINDRITAC)	085	BAC	B	19,780	11.38	n/a	17-Jan	324.29	0.0
AO,CXL	01/18	FARALLON CAP MGMT (FARACS)	040	CHKP	S	55,000	48.12	n/a	n/a	1650.00	3.0
AO,CRT	01/18	FARALLON CAP MGMT (FARABULK F)	040	CHKP	S	55,000	48.12	n/a	n/a	1650.00	3.0
AO,CXL	01/18	ASCEND PARTNERS (ASCEDBAB)	033	PVH	B	1,566	116.18	n/a	17-Jan	46.98	0.0
AO,	01/18	ASCEND PARTNERS (ASCEDBAB)	033	PVH	B	1,561	116.18	n/a	17-Jan	46.83	0.0
AO,CXL	01/18	ASCEND PARTNERS (ASCEMSPB)	033	PVH	B	1,129	116.18	n/a	17-Jan	33.87	0.0
AO,	01/18	ASCEND PARTNERS (ASCEMSPB)	033	PVH	B	1,134	116.18	n/a	17-Jan	34.02	0.0
AO,CXL	01/23	ROARING BLUE LION MGMT (ROARGSBTIG)	031	RL	SS	1,440	163.74	n/a	5-Nov	57.60	4.0
AO,CRT	01/23	ROARING BLUE LION MGMT (ROARGSBTIG)	031	RL	SS	1,400	163.74	n/a	5-Nov	56.00	4.0
AO,CXL	01/23	ROARING BLUE LION MGMT (ROARMAIN)	031	RL	SS	4,060	163.74	n/a	5-Nov	162.40	4.0
AO,CRT	01/23	ROARING BLUE LION MGMT (ROARMAIN)	031	RL	SS	4,100	163.74	n/a	5-Nov	164.00	4.0
AO,CRT	01/23	FIRST NY SEC/CHRIS (FNYCHRIS)	041	XRT	SS	15,000	65.61	n/a	n/a	450.00	3.0
AO,CXL	01/23	FIRST NY SEC/CHRIS (FNYCHRIS)	041	XRT	SS	15,000	65.61	n/a	n/a	750.00	5.0
TOTAL (AO, CXL, CRT) :										-313.31	

TOTAL (Trade Date):	55,843.77
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TOTAL (RUN DATE) / NFS:

55,530.46

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