



Daily Compliance Activity Report

Trade Date: 02/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	AON	S	2,500	60.37	n/a	n/a	100.00	0.0
M&I FUNDS	047	ARO	B	9,800	12.82	n/a	n/a	392.00	4.0
DC CAPITAL	044	ATI	B	100,000	29.90	n/a	25-Feb	4,000.00	4.0
NEUBERGER BERMAN	036	BKU	B	19,401	27.69	n/a	n/a	776.04	0.0
NEUBERGER BERMAN	036	BOH	B	19,079	48.84	n/a	n/a	763.16	0.0
NEUBERGER BERMAN	036	BOKF	B	12,193	58.86	n/a	n/a	487.72	0.0
BERYLSON CAPITAL	030	BONT	B	100,000	10.48	n/a	21-Feb	3,000.00	3.0
NEUBERGER BERMAN	036	CBU	B	15,092	28.51	n/a	n/a	603.68	0.0
ROBERTSON STEVENS	084	CMP	S	10,600	76.63	n/a	n/a	423.98	0.0
SCOPUS FUND	041	CMP	B	25,000	76.50	n/a	n/a	1,000.00	0.0
MERRILL ASSET/BLACKROCK	297	COF	B	24,000	52.42	n/a	25-Feb	960.00	0.0
THREE G	041	COH	S	159,788	47.22	n/a	14-Feb	4,793.64	0.0
J. GOLDMAN	028	COST	SS	2,000	101.87	n/a	n/a	80.00	4.0
J. GOLDMAN	028	DDS	SS	3,840	77.75	n/a	n/a	153.60	4.0
MACELLUM CAPITAL	086	DECK	S	52,000	40.76	n/a	n/a	1,560.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	DOV	S	5,600	73.00	n/a	n/a	224.00	0.0
LATEEF MGMT	033	DOW	B	100	31.39	n/a	n/a	25.00	25.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	50,000	45.77	n/a	25-Feb	1,500.00	3.0
LOMAS CAPITAL	040	DRI	B	77,000	46.10	n/a	25-Feb	2,310.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	B	66,958	45.52	n/a	25-Feb	2,008.74	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	S	16,958	45.57	n/a	25-Feb	508.74	3.0
OZ MGMT	040	DRI	B	50,000	45.49	n/a	25-Feb	1,500.00	0.0
LATEEF MGMT	033	DVN	B	100	55.34	n/a	25-Feb	30.00	30.0
BASSWOOD PARTNERS	267	ESV	B	4,400	60.87	n/a	n/a	176.00	0.0
KENNEDY CAPITAL	046	FINL	B	50,000	17.99	n/a	20-Feb	2,000.00	0.0
M&I FUNDS	047	FINL	B	1,950	18.05	n/a	20-Feb	78.00	4.0
FARBER	085	FL	B	20,000	33.62	n/a	25-Feb	800.00	4.0
RIVERPARK CAPITAL	025	FSLR	B	6,700	33.33	n/a	n/a	335.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	SS	30,000	12.20	n/a	25-Feb	900.00	0.0
OZ MGMT	040	F	S	100,000	12.47	n/a	25-Feb	3,000.00	0.0
M&I FUNDS	047	GES	B	1,850	28.13	n/a	25-Feb	74.00	4.0
LATEEF MGMT	033	GIS	S	100	45.84	n/a	n/a	30.00	30.0
OZ MGMT	040	GM	S	59,141	26.91	n/a	25-Feb	1,774.23	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	HIBB	B	12,500	51.82	n/a	n/a	375.00	3.0
LATEEF MGMT	033	HPQ	B	125	19.17	n/a	n/a	25.00	20.0
OZ MGMT	040	IP	S	86,099	43.28	n/a	25-Feb	2,582.97	0.0
HARVEST MGMT (JMP)	029	KSS	B	10,000	46.25	n/a	21-Feb	400.00	4.0
NEUBERGER BERMAN	036	LDR	S	2,097	58.42	n/a	n/a	83.88	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	53,600	54.25	n/a	12-Feb	1,608.00	3.0
BASSWOOD PARTNERS	267	MLHR	S	1,900	24.00	n/a	n/a	76.00	0.0
HARVEST MGMT (JMP)	029	M	SS	10,000	39.21	n/a	21-Feb	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	M	S	117,273	38.86	n/a	21-Feb	3,518.19	0.0
TUDOR INVESTORS	028	NKE	S	25,000	54.64	n/a	20-Feb	750.00	3.0
THREE G	041	NLSN	S	30,500	32.72	n/a	n/a	915.00	0.0
MERRILL ASSET/BLACKROCK	297	SF	B	15,100	38.00	n/a	n/a	604.00	0.0
M&I FUNDS	047	STNR	B	1,250	45.04	n/a	n/a	50.00	4.0
SENATOR INVESTMENT GROUP	036	TGT	SS	100,000	63.44	n/a	25-Feb	3,000.00	3.0
DENVER INST. ADV	046	TUMI	B	30,500	23.32	n/a	n/a	1,220.00	0.0
NEWLAND CAPITAL MGT	025	UFS	S	7,500	75.68	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RATAN CAPITAL MGMT LP	041	VRX	B	50,000	66.04	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	WAL	B	57,400	13.32	n/a	n/a	2,296.00	0.0
DECADE CAPITAL CHRIS C	041	WBC	SS	4,504	67.84	n/a	15-Feb	180.16	0.0
SENATOR INVESTMENT GROUP	036	WCRX	B	96,640	13.79	n/a	25-Feb	2,899.20	3.0
MERRILL ASSET/BLACKROCK	297	WFC	S	38,800	35.12	n/a	25-Feb	1,552.00	0.0
ASCEND PARTNERS	033	WTR	B	18,006	28.72	n/a	n/a	540.18	0.0
TUDOR INVESTORS	028	ZUMZ	B	20,000	22.29	n/a	n/a	600.00	3.0
TOTAL (Trade Date) :								61,843.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/25	DC CAPITAL (DCCAGOLDMA)	044	ATI	B	100,000	29.90	n/a	25-Feb	4000.00 4.0
CRT	02/25	NOMURA/ANGEL LANE PRINCIPAL (NOMDALPS)	040	DRI	B	50,000	45.52	n/a	25-Feb	1500.00 3.0
AO,CXL	02/22	OZ MGMT (OZFFUBSWA)	040	DRI	S	670	46.13	n/a	25-Feb	20.10 0.0
AO,	02/22	OZ MGMT (OZFFUBSWA)	040	DRI	S	666	46.13	n/a	25-Feb	19.98 0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	43,791	46.13	n/a	25-Feb	1313.73 0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,584	46.13	n/a	25-Feb	47.52 0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,607	46.13	n/a	25-Feb	48.21 0.0
AO,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	43,802	46.13	n/a	25-Feb	1314.06 0.0
AO,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,600	46.13	n/a	25-Feb	48.00 0.0
AO,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,600	46.13	n/a	25-Feb	48.00 0.0
AO,CXL	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,148	46.13	n/a	25-Feb	34.44 0.0
AO,CXL	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,034	46.13	n/a	25-Feb	31.02 0.0
AO,	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,033	46.13	n/a	25-Feb	30.99 0.0
AO,	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,133	46.13	n/a	25-Feb	33.99 0.0

TOTAL (AO, CXL, CRT) :**5,500.00**

TOTAL (Trade Date):

61,843.11

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5,500.00

TOTAL (RUN DATE) / NFS:**67,343.11**

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