



Daily Compliance Activity Report

Trade Date: 01/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADING TOM LEDDY	035	CHS	B	15,000	18.46	n/a	5-Feb	525.00	3.5
BRIGADE CAPITAL MGMT	029	CYH	B	170,000	32.38	n/a	n/a	5,100.00	0.0
CAPITAL GROWTH MGMT.	241	DHI	S	200,000	20.68	n/a	n/a	10,000.00	5.0
CR INTRINIC INVESTMENT	044	DKS	B	10,000	48.00	n/a	21-Dec	350.00	3.5
BERYLSON CAPITAL	030	FINL	B	100,000	17.38	n/a	4-Jan	3,000.00	3.0
COOPER CREEK PART	028	FINL	B	20,000	17.52	n/a	4-Jan	800.00	4.0
COLUMBUS CIRCLE	036	FIO	S	28,725	21.47	n/a	n/a	1,149.00	0.0
CR INTRINIC INVESTMENT	044	FL	SS	13,900	32.97	n/a	21-Dec	486.50	3.5
VISIUM/BALY BOBBY	044	F	B	35,000	13.42	n/a	7-Jan	1,750.00	0.0
SYMPHONY ASSET	033	GE	B	14,080	21.06	n/a	n/a	422.40	0.0
MASTERS CAPITAL MANAGE	025	GLW	S	100,000	12.68	n/a	27-Nov	4,000.00	4.0
OZ MGMT	040	GM	S	21,803	29.84	n/a	7-Jan	654.09	0.0
LISTED ERR	099	GM	B	113	29.64	n/a	7-Jan	0.00	0.0
ADAGE CAPITAL MGMT	030	JCI	B	8,117	31.49	n/a	20-Dec	243.51	3.0
CORNERSTONE	030	JCI	S	99,994	31.67	n/a	20-Dec	2,999.82	0.0
OZ MGMT	040	JCP	SS	25,482	19.88	n/a	2-Jan	764.46	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	KORS	B	3,750	51.75	n/a	14-Nov	150.00	0.0
COLUMBUS CIRCLE	036	LPX	S	8,300	20.24	n/a	4-Jan	332.00	0.0
LOMAS CAPITAL	040	LVS	B	17,400	51.35	n/a	13-Jun	522.00	3.0
SAC CAPITAL/M GRONET	030	M	B	25,000	37.66	n/a	4-Jan	875.00	3.5
RAINIER INV MGMT	035	OII	B	21,500	56.98	n/a	n/a	860.00	0.0
SAC CAPITAL/M GRONET	030	ROST	B	20,000	57.49	n/a	4-Jan	700.00	3.5
WADDELL AND REED	047	UNH	B	43,500	52.02	n/a	n/a	1,740.00	0.0
HIGHBRIDGE CAP	041	XLU	SS	15,000	35.40	n/a	n/a	300.00	2.0
TOTAL (Trade Date) :							37,723.78		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/04	FARALLON CAP MGMT (FARABULK F)	040	CHKP	S	80,000	46.76	n/a	n/a	3200.00 4.0
AO,CRT	01/04	FARALLON CAP MGMT (FARABULK F)	040	CHKP	S	80,000	46.76	n/a	n/a	2400.00 3.0
AO,	01/04	RAINIER INV MGMT (RAINcairon)	035	OII	B	540	57.23	n/a	n/a	21.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINABXAIR)	035	OII	B	1,000	57.23	n/a	n/a	40.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINUILL)	035	OII	B	940	57.23	n/a	n/a	37.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINDTC)	035	OII	B	1,380	57.23	n/a	n/a	55.20 0.0
AO,	01/04	RAINIER INV MGMT (RAINOPERMI)	035	OII	B	980	57.23	n/a	n/a	39.20 0.0
AO,	01/04	RAINIER INV MGMT (RAINOCEAN)	035	OII	B	220	57.23	n/a	n/a	8.80 0.0
AO,	01/04	RAINIER INV MGMT (RAINSUFCW)	035	OII	B	370	57.23	n/a	n/a	14.80 0.0
AO,	01/04	RAINIER INV MGMT (RAINMASONS)	035	OII	B	340	57.23	n/a	n/a	13.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINSIC)	035	OII	B	240	57.23	n/a	n/a	9.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINNS)	035	OII	B	1,300	57.23	n/a	n/a	52.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINRCTSME)	035	OII	B	340	57.23	n/a	n/a	13.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINRIMMID)	035	OII	B	28,200	57.23	n/a	n/a	1128.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINMCAROS)	035	OII	B	440	57.23	n/a	n/a	17.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINAERO)	035	OII	B	1,450	57.23	n/a	n/a	58.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINUFCEWMW)	035	OII	B	240	57.23	n/a	n/a	9.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINOPER12)	035	OII	B	730	57.23	n/a	n/a	29.20 0.0
AO,	01/04	RAINIER INV MGMT (RAINWWSMID)	035	OII	B	590	57.23	n/a	n/a	23.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINSW401)	035	OII	B	1,080	57.23	n/a	n/a	43.20 0.0
AO,	01/04	RAINIER INV MGMT (RAINORSHSM)	035	OII	B	370	57.23	n/a	n/a	14.80 0.0
AO,	01/04	RAINIER INV MGMT (RAINAMEX)	035	OII	B	1,190	57.23	n/a	n/a	47.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINRESFLO)	035	OII	B	140	57.23	n/a	n/a	5.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINCSMP)	035	OII	B	420	57.23	n/a	n/a	16.80 0.0
AO,	01/04	RAINIER INV MGMT (RAINNORDY)	035	OII	B	740	57.23	n/a	n/a	29.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINLEHIGH)	035	OII	B	610	57.23	n/a	n/a	24.40 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/04	RAINIER INV MGMT (RAINPUGETS)	035	OII	B	340	57.23	n/a	n/a	13.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINSTJOE)	035	OII	B	550	57.23	n/a	n/a	22.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINNRR)	035	OII	B	1,850	57.23	n/a	n/a	74.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINNYTEAC)	035	OII	B	1,270	57.23	n/a	n/a	50.80 0.0
AO,	01/04	RAINIER INV MGMT (RAINOP3SM)	035	OII	B	1,590	57.23	n/a	n/a	63.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINWMETAL)	035	OII	B	450	57.23	n/a	n/a	18.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINMCAREP)	035	OII	B	350	57.23	n/a	n/a	14.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINAUTOMI)	035	OII	B	300	57.23	n/a	n/a	12.00 0.0
AO,	01/04	RAINIER INV MGMT (RAINICIT)	035	OII	B	90	57.23	n/a	n/a	3.60 0.0
AO,	01/04	RAINIER INV MGMT (RAINENTERG)	035	OII	B	2,420	57.23	n/a	n/a	96.80 0.0
CRT	01/07	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	SS	15,000	35.40	n/a	n/a	300.00 2.0

TOTAL (AO, CXL, CRT) : **1,622.40**

TOTAL (Trade Date) : 37,723.78
TOTAL (AO, CXL, CRT) : 1,622.40

TOTAL (RUN DATE) / NFS : **39,346.18**

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