



## Daily Compliance Activity Report

Trade Date: 01/14/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	ABG	B	2,790	32.36	n/a	10-Jan	83.70	3.0
MACELLUM CAPITAL	086	AEO	SS	14,588	19.62	n/a	2-Dec	437.64	3.0
ELM RIDGE ADVISORS	044	AET	S	4,670	45.17	n/a	n/a	186.80	0.0
DECADE CAPITAL CHRIS C	041	AGU	B	6,075	106.85	n/a	n/a	243.00	0.0
NWQ INVESTMENT MGMT CO	084	AHL	B	3,100	32.80	n/a	n/a	108.50	0.0
ELM RIDGE ADVISORS	044	AIG	S	9,117	34.72	n/a	n/a	364.68	0.0
UBS OCONNOR	031	AMG	SS	15,000	138.97	n/a	2-Mar	450.00	0.0
MACELLUM CAPITAL	086	ANF	B	5,324	48.79	n/a	n/a	159.72	3.0
MACELLUM CAPITAL	086	ANN	SS	7,464	32.03	n/a	n/a	223.92	3.0
MACELLUM CAPITAL	086	ARO	B	9,448	12.29	n/a	n/a	283.44	3.0
TROUBH PART	070	AXL	B	10,000	11.00	n/a	11-Jan	500.00	5.0
MACELLUM CAPITAL	086	BBY	B	11,124	14.50	n/a	n/a	333.72	3.0
UBS OCONNOR	031	BEN	B	25,000	135.43	n/a	2-Mar	750.00	0.0
NWQ INVESTMENT MGMT CO	084	BKI	B	2,200	30.14	n/a	n/a	77.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	CBT	B	11,600	43.11	n/a	6-Dec	580.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		CCJ	B	47,500	21.16	n/a	n/a	1,900.00	0.0
DECADE CAPITAL PARTNERS	040	CCL	B	28,500	37.46	n/a	n/a	1,140.00	0.0
DECADE CAPITAL CHRIS C	041	CF	S	2,813	217.91	n/a	n/a	112.52	0.0
S.A.C. CAPITAL	044	CHS	B	30,000	17.45	n/a	5-Feb	1,050.00	3.5
MACELLUM CAPITAL	086	CONN	B	6,654	28.00	n/a	n/a	199.62	3.0
SIGMA CAPITAL ASSOCIATES	041	COST	SS	25,000	100.03	n/a	n/a	875.00	3.5
ELM RIDGE ADVISORS	044	C	S	3,943	41.79	n/a	7-Jan	157.72	0.0
TUDOR INVESTORS	028	DAN	B	10,000	15.55	n/a	31-Oct	300.00	3.0
MACELLUM CAPITAL	086	DDS	SS	2,974	79.44	n/a	n/a	89.22	3.0
MACELLUM CAPITAL	086	DG	SS	8,464	43.00	n/a	12-Dec	253.92	3.0
MACELLUM CAPITAL	086	DKS	B	7,788	46.45	n/a	10-Jan	233.64	3.0
MACELLUM CAPITAL	086	DLTR	SS	3,716	37.99	n/a	20-Nov	111.48	3.0
CASTLEROCK	040	DRI	SS	24,173	44.80	n/a	3-Jan	966.92	4.0
NOMURA/ANGEL LANE PRINCIPAL040		DRI	SS	15,000	44.63	n/a	3-Jan	450.00	3.0
MACELLUM CAPITAL	086	DSW	SS	3,628	65.77	n/a	11-Feb	108.84	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOMAS CAPITAL	040	EQR	B	84,000	58.41	n/a	n/a	2,520.00	3.0
COOPER CREEK PART	028	FINL	B	10,000	17.14	n/a	4-Jan	400.00	4.0
CAERUS GLOBAL	041	FNP	B	20,000	14.20	n/a	n/a	800.00	4.0
MACELLUM CAPITAL	086	FNP	B	12,666	14.30	n/a	n/a	379.98	3.0
NWQ INVESTMENT MGMT CO	084	FOR	B	16,000	18.44	n/a	8-Nov	560.00	0.0
MACELLUM CAPITAL	086	FOSL	B	2,116	101.38	n/a	n/a	63.48	3.0
MACELLUM CAPITAL	086	FRAN	B	171,648	27.19	n/a	n/a	5,149.44	0.0
MACELLUM CAPITAL	086	GCO	SS	3,852	56.66	n/a	n/a	115.56	3.0
FEDERATED INV/KAUFMAN	029	GM	B	500,000	30.23	n/a	11-Jan	25,000.00	0.0
MACELLUM CAPITAL	086	GPS	SS	9,476	31.35	n/a	n/a	284.28	3.0
NWQ INVESTMENT MGMT CO	084	HAR	B	2,600	50.10	n/a	3-Feb	91.00	0.0
MACELLUM CAPITAL	086	HAS	SS	4,138	36.54	n/a	n/a	124.14	3.0
CAPITAL WORLD	084	HD	S	100	63.75	n/a	n/a	3.50	0.0
MACELLUM CAPITAL	086	HOTT	B	18,082	10.47	n/a	n/a	542.46	3.0
COLUMBUS CIRCLE	036	ICLR	B	5,880	28.92	n/a	n/a	235.20	0.0
CR INTRINSIC/CHRIS C	041	IEX	B	5,000	47.95	n/a	n/a	175.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	40.79	n/a	7-Jan	1,500.00	5.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086		IRBT	SS	5,368	20.00	n/a	n/a	161.04 0.0
FRONTIER	029	JBL	S	139,230	19.52	n/a	n/a	5,569.20	0.0
MACELLUM CAPITAL	086	JCP	SS	13,160	18.09	n/a	14-Jan	394.80	3.0
IRIDIAN ASSET MGMT.	036	KSS	S	13,020	42.04	n/a	4-Jan	651.00	0.0
MACELLUM CAPITAL	086	LAD	B	2,390	38.51	n/a	n/a	71.70	3.0
ELM RIDGE ADVISORS	044	LEA	S	1,617	46.95	n/a	14-Jan	64.68	0.0
PATRIOT STRATEGY PARTNERS	036	LEA	B	10,000	47.50	n/a	14-Jan	400.00	4.0
HOTCHKIS & WILEY	084	LLY	S	200,000	52.96	n/a	n/a	10,000.00	0.0
MACELLUM CAPITAL	086	LL	B	3,638	55.22	n/a	n/a	109.14	3.0
DECADE CAPITAL CHRIS C	041	LSTR	B	13,947	55.51	n/a	n/a	557.88	0.0
MACELLUM CAPITAL	086	LTD	SS	4,686	45.46	n/a	n/a	140.58	3.0
MACELLUM CAPITAL	086	LULU	B	3,092	72.15	n/a	10-Jan	92.76	3.0
MACELLUM CAPITAL	086	MAT	SS	6,102	36.76	n/a	n/a	183.06	3.0
NWQ INVESTMENT MGMT CO	084	MG	B	2,900	21.71	n/a	n/a	101.50	0.0
NWQ INVESTMENT MGMT CO	084	MIDD	B	500	131.97	n/a	n/a	17.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	MNRO	B	6,534	34.32	n/a	n/a	196.02	3.0
MACELLUM CAPITAL	086	MOV	B	5,724	33.95	n/a	n/a	171.72	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	17,000	32.69	n/a	24-Oct	850.00	5.0
NWQ INVESTMENT MGMT CO	084	ORB	B	12,000	14.06	n/a	n/a	420.00	0.0
MACELLUM CAPITAL	086	OXM	B	4,510	49.73	n/a	n/a	135.30	3.0
NWQ INVESTMENT MGMT CO	084	PACW	B	2,800	26.05	n/a	n/a	98.00	0.0
BALYASNY ASSET MGMT	044	PFE	B	37,500	26.70	n/a	n/a	1,875.00	0.0
MACELLUM CAPITAL	086	PII	SS	2,638	88.65	n/a	n/a	79.14	3.0
DECADE CAPITAL PARTNERS	040	RCL	SS	29,500	35.74	n/a	n/a	1,180.00	0.0
STANDARD PACIFIC CAPITAL	084	RIMM	B	450,000	14.84	n/a	n/a	22,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	10,000	74.38	n/a	7-Jan	500.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	49,100	74.19	n/a	7-Jan	1,964.00	0.0
MACELLUM CAPITAL	086	SKS	SS	18,126	10.56	n/a	n/a	543.78	3.0
ROSEDALE CAPITAL	046	STLD	S	20,000	15.11	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	084	TCBI	B	3,200	46.08	n/a	n/a	112.00	0.0
PERIMETER	273	TEN	B	7,480	35.62	n/a	n/a	299.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	TEX	S	6,169	29.06	n/a	n/a	246.76	0.0
NWQ INVESTMENT MGMT CO	084	THS	B	2,300	52.60	n/a	n/a	80.50	0.0
UBS OCONNOR	031	TROW	SS	15,000	69.48	n/a	n/a	450.00	0.0
CYRUS CAPITAL	025	UAL	B	100,000	25.96	n/a	14-Jan	3,000.00	3.0
MACELLUM CAPITAL	086	UA	SS	3,414	48.33	n/a	26-Oct	102.42	3.0
ELM RIDGE ADVISORS	044	UPL	S	8,476	18.16	n/a	10-Jan	339.04	0.0
MACELLUM CAPITAL	086	URBN	B	4,474	42.19	n/a	n/a	134.22	3.0
COLUMBUS CIRCLE	036	VAC	B	1,884	43.70	n/a	n/a	75.36	0.0
SIGMA CAPITAL ASSOCIATES	041	WAG	B	50,000	39.11	n/a	n/a	1,750.00	3.5
KAM ADVISORS LLC	041	XRT	C	70,200	63.13	n/a	n/a	2,106.00	0.0
MACELLUM CAPITAL	086	ZUMZ	B	105,000	20.10	n/a	n/a	3,150.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>112,348.34</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/11	UBS OCONNOR (UBSOBOAML)	031	BEN	B	8,500	135.52	n/a	2-Mar	255.00 0.0
AO,CXL	01/11	UBS OCONNOR (UBSOCSFBCO)	031	BEN	B	8,500	135.52	n/a	2-Mar	255.00 0.0
AO,	01/11	WCG MANAGEMENT (WCGMSTRATE)	044	CMI	B	1,805	110.84	n/a	n/a	54.15 0.0
AO,CXL	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	CMI	B	5,000	110.84	n/a	n/a	150.00 3.0
AO,CRT	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	CMI	B	3,195	110.84	n/a	n/a	95.85 3.0
AO,	01/11	WCG MANAGEMENT (WCGMSTRATE)	044	DE	B	3,610	89.82	n/a	11-Jul	108.30 0.0
AO,CXL	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	DE	B	10,000	89.82	n/a	11-Jul	300.00 3.0
AO,CRT	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	DE	B	6,390	89.82	n/a	11-Jul	191.70 3.0
AO,	01/11	WCG MANAGEMENT (WCGMSTRATE)	044	FFIV	S	3,610	98.07	n/a	11-Jan	108.30 0.0
AO,CXL	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	FFIV	S	10,000	98.07	n/a	11-Jan	300.00 3.0
AO,CRT	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	FFIV	S	6,390	98.07	n/a	11-Jan	191.70 3.0
AO,CXL	01/09	ROARING BLUE LION MGMT (ROARMAIN)	031	GY	B	136,000	9.90	n/a	n/a	5440.00 4.0
AO,CRT	01/09	ROARING BLUE LION MGMT (ROARMAIN)	031	GY	B	136,000	9.90	n/a	n/a	4080.00 3.0
AO,	01/11	WCG MANAGEMENT (WCGMSTRATE)	044	JOY	B	2,527	68.31	n/a	11-Jul	75.81 0.0
AO,CXL	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	JOY	B	7,000	68.31	n/a	11-Jul	210.00 3.0
AO,CRT	01/11	WCG MANAGEMENT (WCGMMMASTER)	044	JOY	B	4,473	68.31	n/a	11-Jul	134.19 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,360.00</b>

TOTAL (Trade Date) :

112,348.34

TOTAL (AO, CXL, CRT):

-1,360.00

---

**TOTAL (RUN DATE) / NFS:**

**110,988.34**

---



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