



## Daily Compliance Activity Report

Trade Date: 01/09/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
SENATOR INVESTMENT GROUP	036	ALV	SS	80,400	66.01	n/a	4-Jan	2,412.00 3.0
TIDE POINT CAPITAL	028	ANR	S	25,000	10.18	n/a	n/a	750.00 3.0
DPB CAPITAL	029	CHK	S	5,000	17.08	n/a	n/a	250.00 5.0
S.A.C. CAPITAL	044	CROX	B	50,000	15.25	n/a	n/a	1,750.00 3.5
ROTHSCHILD ASSET	040	CVG	B	22,699	17.04	n/a	n/a	907.96 0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	SS	15,000	47.14	n/a	21-Dec	450.00 3.0
COOPER CREEK PART	028	FINL	B	6,091	17.32	n/a	4-Jan	243.64 4.0
LEVIN CAPITAL STRATEGIES	041	FL	S	10,250	33.10	n/a	21-Dec	307.50 0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	3,200	18.15	n/a	8-Nov	112.00 0.0
SYMPHONY ASSET	033	GDX	SS	14,370	44.24	n/a	n/a	431.10 0.0
OZ MGMT	040	GM	B	50,000	29.81	n/a	7-Jan	1,500.00 0.0
J. GOLDMAN	028	GNTX	B	5,000	18.34	n/a	24-Oct	200.00 4.0
TIDE POINT CAPITAL	028	GPI	S	1,200	65.04	n/a	4-Jan	36.00 3.0
LIONEYE CAPITAL	040	GY	B	60,000	9.84	n/a	n/a	3,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	031	GY	B	136,000	9.90	n/a	n/a	5,440.00	4.0
CRAMER ROSENTHAL	070	IPG	B	125,650	11.63	n/a	n/a	5,026.00	0.0
J. GOLDMAN	028	ITW	B	4,000	62.74	n/a	n/a	160.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	ITW	SS	30,000	62.00	n/a	n/a	900.00	3.0
MILLENNIUM-NEW VERNON	031	JFR	B	18,500	12.57	n/a	n/a	740.00	4.0
SCOPUS FUND	041	LAD	B	10,000	39.16	n/a	n/a	400.00	4.0
TIDE POINT CAPITAL	028	LEA	S	5,000	48.17	n/a	7-Dec	150.00	3.0
<b>WELLSPRING CAPITAL</b>	<b>093</b>	<b>LL</b>	<b>B</b>	<b>22,000</b>	<b>55.67</b>	<b>n/a</b>	<b>n/a</b>	<b>880.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	041	MAS	B	26,000	17.46	n/a	n/a	780.00	0.0
DAVIDSON KEMPNER ADVISOR	040	MTG	SS	142,911	2.95	n/a	n/a	4,287.33	0.0
SAC CAPITAL/M GRONET	030	M	B	25,000	37.00	n/a	4-Jan	875.00	3.5
M&I FUNDS	047	NYX	S	77,402	32.42	n/a	n/a	3,096.08	4.0
DAVIDSON KEMPNER ADVISOR	040	PCS	S	20,000	9.56	n/a	n/a	600.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	38.90	n/a	7-Jan	2,500.00	5.0
ASCEND PARTNERS	033	PVH	S	25,000	118.69	n/a	19-Dec	1,250.00	0.0
DAVIDSON KEMPNER ADVISOR	040	RDN	B	71,600	6.23	n/a	n/a	2,148.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	STLD	S	30,000	14.98	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SYU	B	25,000	30.72	n/a	n/a	875.00	3.5
ROYCE TRADING	031	UNT	B	5,800	46.25	n/a	8-Jan	290.00	0.0
SYMPHONY ASSET	033	XLB	C	16,450	38.88	n/a	n/a	493.50	0.0
<b>TOTAL (Trade Date):</b>								<b>44,441.11</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	641	29.84	n/a	7-Jan	19.23 0.0
AO,CXL	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	19,194	29.84	n/a	7-Jan	575.82 0.0
AO,CXL	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	695	29.84	n/a	7-Jan	20.85 0.0
AO,	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	692	29.84	n/a	7-Jan	20.76 0.0
AO,	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	702	29.84	n/a	7-Jan	21.06 0.0
AO,	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	19,136	29.84	n/a	7-Jan	574.08 0.0
AO,CXL	01/08	MILLENNIUM-NEW VERNON (MILANEWVE)	031	JFR	B	26,750	12.49	n/a	n/a	1605.00 6.0
AO,CRT	01/08	MILLENNIUM-NEW VERNON (MILANEWVE)	031	JFR	B	26,750	12.49	n/a	n/a	1070.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-535.00</b>
TOTAL (Trade Date) :										44,441.11
TOTAL (AO, CXL, CRT) :										-535.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>43,906.11</b>

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