



Daily Compliance Activity Report

Trade Date: 01/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	ABBV	S	1,375	37.68	n/a	n/a	82.50	6.0
PRIMECAP MGMT	084	ABT	B	8,000	32.77	n/a	n/a	320.00	0.0
WOODWAY FINANCIAL	031	ABT	S	600	32.79	n/a	n/a	36.00	6.0
WOOSTER CAPITAL	044	ALV	SS	15,000	66.62	n/a	11-Jan	600.00	4.0
GEORGE WEISS	278	AXL	S	5,000	11.88	n/a	24-Jan	200.00	0.0
LOMAS CAPITAL	040	AXL	B	60,000	11.88	n/a	24-Jan	1,800.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	15,000	11.99	n/a	24-Jan	600.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	11.88	n/a	24-Jan	400.00	0.0
NWQ INVESTMENT MGMT CO	084	BKI	B	14,585	31.06	n/a	n/a	510.48	0.0
SCOPUS FUND	041	BWA	SS	40,000	77.22	n/a	11-Jan	1,600.00	0.0
FORTRESS INVESTMENT (US)	036	CAT	S	31,500	95.26	n/a	11-Jul	630.00	0.0
TROUBH PART	070	COH	B	10,000	51.49	n/a	24-Jan	500.00	5.0
SENATOR INVESTMENT GROUP	036	COL	B	120,000	59.41	n/a	18-Jan	3,600.00	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	CZR	B	50,000	8.06	n/a	n/a	1,500.00	3.0
WOODWAY FINANCIAL	031	DD	S	5,500	48.13	n/a	18-Jan	330.00	6.0
MACELLUM CAPITAL	086	DLTR	SS	51,000	41.02	n/a	20-Nov	1,530.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	DOW	S	1,311	34.64	n/a	18-Jan	78.66	6.0
LATEEF MGMT	033	DVN	S	100	54.79	n/a	23-Jan	30.00	30.0
IVORY CAPITAL	084	EA	B	75,500	14.74	n/a	n/a	3,775.00	0.0
TOCQUEVILLE	046	FLEX	B	125,000	6.31	n/a	n/a	6,250.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		FMCN	S	50,000	25.42	n/a	n/a	2,000.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	19.56	n/a	8-Nov	400.00	4.0
FORTRESS INVESTMENT (US)	036	GD	B	42,000	70.85	n/a	17-Jan	840.00	0.0
WOODWAY FINANCIAL	031	GE	S	3,800	22.25	n/a	n/a	228.00	6.0
PHILADELPHIA FINANCIAL	033	GPI	SS	10,000	67.29	n/a	24-Jan	400.00	0.0
TIDE POINT CAPITAL	028	GPI	B	2,000	67.86	n/a	24-Jan	60.00	3.0
CYRUS CAPITAL	025	GPK	S	50,000	7.03	n/a	n/a	1,500.00	3.0
ELM RIDGE ADVISORS	044	HAL	B	25,000	39.97	n/a	n/a	1,000.00	0.0
BRONSON POINT	036	HON	S	100,000	68.24	n/a	25-Jan	3,000.00	0.0
TIDE POINT CAPITAL	028	HON	B	10,000	68.78	n/a	25-Jan	300.00	3.0
LATEEF MGMT	033	HPQ	B	300	17.01	n/a	n/a	30.00	10.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	89.44	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	IP	S	600	42.41	n/a	17-Jan	36.00	6.0
WOODWAY FINANCIAL	031	IRM	S	1,123	34.29	n/a	n/a	67.38	6.0
WOODWAY FINANCIAL	031	ITW	S	1,000	65.01	n/a	n/a	60.00	6.0
SCOPUS FUND	041	KMX	S	50,000	39.45	n/a	n/a	0.00	0.0
WOODWAY FINANCIAL	031	KO	S	1,000	36.97	n/a	22-Oct	60.00	6.0
DEVENNY CAP LLC/MILLENIU	044	LEA	S	10,000	49.15	n/a	25-Jan	300.00	0.0
WOOSTER CAPITAL	044	LEA	S	10,000	48.93	n/a	25-Jan	400.00	4.0
FIRST NY SEC/CHRIS	041	LPX	SS	10,000	20.90	n/a	25-Jan	500.00	5.0
MACELLUM CAPITAL	086	MAT	SS	56,000	37.37	n/a	n/a	1,680.00	0.0
ACK ASSET	028	MLI	B	90,000	52.51	n/a	18-Dec	2,700.00	0.0
WOODWAY FINANCIAL	031	MSFT	S	750	27.84	n/a	n/a	45.00	6.0
LATEEF MGMT	033	NKE	S	300	55.37	n/a	25-Jan	51.00	17.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	32.03	n/a	25-Jan	400.00	4.0
MOORE CAPITAL	041	PBF	S	65,299	29.90	n/a	n/a	1,958.97	0.0
PAR CAPITAL	268	PBF	B	35,000	29.90	n/a	n/a	1,400.00	0.0
WOODWAY FINANCIAL	031	PFE	S	1,000	26.93	n/a	n/a	60.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	PG	S	1,000	73.17	n/a	25-Jan	60.00	6.0
WOODWAY FINANCIAL	031	RTN	S	1,000	56.17	n/a	15-Jan	60.00	6.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	56.50	n/a	25-Jan	875.00	3.5
PERIMETER	273	SFLY	S	8,168	33.45	n/a	n/a	326.72	0.0
LATEEF MGMT	033	SPLS	B	150	12.99	n/a	n/a	30.00	20.0
LEVIN CAPITAL STRATEGIES	041	STZ	C	22,200	38.25	n/a	16-Jan	666.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	SYMC	S	100,000	22.04	n/a	n/a	4,000.00	0.0
LATEEF MGMT	033	TSN	S	200	22.49	n/a	n/a	30.00	15.0
WOODWAY FINANCIAL	031	T	S	2,500	33.98	n/a	n/a	150.00	6.0
TRUSTCO/SUNTRUST (CEREDEX)	273	VZ	B	47,316	42.51	n/a	n/a	1,514.12	0.0
WOODWAY FINANCIAL	031	WAG	S	1,125	39.68	n/a	n/a	67.50	6.0
CSFB GLOBAL PROPRIETARY	041	WY	S	30,000	30.53	n/a	25-Jan	1,500.00	5.0
TUDOR INVESTORS	028	ZUMZ	B	37,500	21.43	n/a	n/a	1,125.00	3.0
TOTAL (Trade Date) :								54,453.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									54,453.33
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									54,453.33

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