



## Daily Compliance Activity Report

Trade Date: 01/08/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		ALV	B	10,000	65.92	n/a	4-Jan	400.00	4.0
PAULSON & CO INC	041	ALV	C	93,732	66.01	n/a	4-Jan	2,811.96	0.0
SCOPUS FUND	041	ALV	SS	25,000	65.74	n/a	4-Jan	1,000.00	4.0
SENATOR INVESTMENT GROUP	036	ALV	SS	60,586	66.10	n/a	4-Jan	1,817.58	0.0
WAGONHOUND/NICOLAS	033	AXL	B	93,557	11.59	n/a	7-Jan	3,742.28	0.0
CASTLEROCK	040	BA	SS	34,559	73.78	n/a	8-Jan	1,382.36	0.0
TIDE POINT CAPITAL	034	BHP	S	10,000	78.50	n/a	n/a	300.00	0.0
J. GOLDMAN	028	BWA	B	17,500	72.26	n/a	7-Nov	700.00	4.0
SAFRA ASSET MGMT.	040	CMI	B	5,000	111.23	n/a	n/a	150.00	3.0
ROTHSCHILD ASSET	040	CVD	B	2,262	59.00	n/a	n/a	90.48	0.0
BRIGADE CAPITAL MGMT	029	CYH	B	102,500	32.92	n/a	n/a	3,075.00	0.0
FIRST NY SEC/CHRIS	041	DKS	SS	10,000	47.29	n/a	21-Dec	500.00	5.0
WOOSTER CAPITAL	035	EMC	B	45,000	23.76	n/a	4-Dec	1,800.00	4.0
PATRIOT STRATEGY PARTNERS	036	FB	B	10,000	29.11	n/a	n/a	500.00	5.0
COUGAR TRADING	044	FINL	B	10,000	17.56	n/a	4-Jan	500.00	5.0
COLUMBUS CIRCLE	036	FIO	S	22,300	19.37	n/a	n/a	892.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	GM	S	35,000	29.44	n/a	7-Jan	1,400.00	4.0
WOOSTER CAPITAL	035	GM	B	25,000	29.35	n/a	7-Jan	1,000.00	4.0
J. GOLDMAN	028	GNTX	B	10,000	18.40	n/a	24-Oct	400.00	4.0
BNP PARIBAS SEC	040	GPS	B	32,609	31.32	n/a	n/a	978.27	3.0
TUDOR INVESTORS	028	GPS	SS	50,000	31.91	n/a	n/a	1,500.00	3.0
UBS OCONNOR	031	GS	SS	32,400	132.96	n/a	20-Dec	972.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	84.69	n/a	n/a	200.00	0.0
CORNERSTONE	030	JCI	S	25,160	31.50	n/a	20-Dec	754.80	0.0
MILLENNIUM-NEW VERNON	031	JFR	B	26,750	12.49	n/a	n/a	1,605.00	6.0
UBS OCONNOR	031	JPM	B	112,000	45.06	n/a	7-Jan	3,360.00	0.0
SCOPUS FUND	041	LAD	B	5,000	39.03	n/a	n/a	200.00	4.0
VISIUM/BALY BOBBY	044	MTW	S	23,300	16.59	n/a	11-Jul	1,165.00	0.0
SAC TRADING TOM LEDDY	035	M	S	30,000	37.28	n/a	4-Jan	1,050.00	3.5
SCOPUS FUND	041	PAG	SS	25,000	31.22	n/a	5-Nov	1,000.00	4.0
SCOPUS FUND	041	PBF	B	10,000	27.45	n/a	n/a	400.00	4.0
J. GOLDMAN	028	PH	SS	5,000	87.71	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		PNR	B	10,000	49.50	n/a	n/a	400.00	4.0
ASCEND PARTNERS	033	PVH	S	24,572	117.25	n/a	19-Dec	1,228.60	0.0
TIDE POINT CAPITAL	034	RIO	S	7,000	56.94	n/a	n/a	210.00	0.0
SAC CAPITAL/M GRONET	030	RL	B	20,000	162.25	n/a	5-Nov	700.00	3.5
PHILADELPHIA FINANCIAL	033	SAH	C	50,000	22.57	n/a	n/a	2,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	55.30	n/a	3-Jan	875.00	3.5
SUFFOLK CAPITAL MGMT	040	TGT	S	110,500	60.48	n/a	3-Jan	4,420.00	0.0
PARAMETER CAPITAL MGMT LLC044		TRW	SS	15,000	53.16	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	UNH	B	4,600	51.63	n/a	n/a	184.00	4.0
J. GOLDMAN	028	UTX	B	5,000	84.14	n/a	n/a	200.00	4.0
VISIUM/BALY BOBBY	044	UTX	S	27,000	83.61	n/a	n/a	1,350.00	0.0
TIDE POINT CAPITAL	034	VALE	S	25,000	20.38	n/a	n/a	750.00	0.0
BESSEMER INVESTMENT	085	WAG	B	7,690	37.90	n/a	n/a	307.60	4.0
BESSEMER INVESTMENT	085	WM	B	5,210	33.94	n/a	n/a	208.40	4.0
BESSEMER INVESTMENT	085	ZMH	B	4,690	69.31	n/a	n/a	187.60	4.0

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**TOTAL (Trade Date):**

**49,467.93**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/07	COLUMBUS CIRCLE (COLC3040)	036	FIO	S	883	21.82	n/a	n/a	17.66 0.0
AO,CXL	01/07	OZ MGMT (OZFFUBSWA)	040	GM	S	249	29.84	n/a	7-Jan	7.47 0.0
AO,	01/07	OZ MGMT (OZFFUBSWA)	040	GM	S	247	29.84	n/a	7-Jan	7.41 0.0
AO,CXL	01/07	OZ MGMT (OZFFJPMBS)	040	GM	S	706	29.84	n/a	7-Jan	21.18 0.0
AO,	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 (OZFFCSFB)	040	GM	S	504	29.84	n/a	7-Jan	15.12 0.0
AO,	01/07	OZ MGMT (OZFFCSFB)	040	GM	S	499	29.84	n/a	7-Jan	14.97 0.0
AO,	01/07	OZ MGMT (OZFFGS)	040	GM	S	72	29.84	n/a	7-Jan	2.16 0.0

**TOTAL (AO, CXL, CRT) :****17.66**

TOTAL (Trade Date) :

49,467.93

TOTAL (AO, CXL, CRT) :

17.66

**TOTAL (RUN DATE) / NFS:****49,485.59**

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