



Daily Compliance Activity Report

Trade Date: 02/27/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	ANN	B	2,449	27.69	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ATVI	S	35,000	14.11		n/a	n/a	1,050.00 3.0
SCOPUS FUND	041	AXL	B	50,000	12.72	n/a	25-Feb	2,000.00	0.0
TUDOR INVESTORS	028	BKE	B	12,500	44.30	n/a	n/a	375.00	3.0
COLUMBUS CIRCLE	036	CRI	S	7,300	55.89	n/a	n/a	292.00	0.0
NOKOMIS PARTNERS	031	CROX	S	10,000	15.34	n/a	n/a	300.00	3.0
CENTURION PARTNERS	041	CTL	S	20,000	33.97	n/a	n/a	0.00	0.0
RIVERLOFT CAPITAL	044	CWH	B	10,000	22.49	n/a	n/a	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	C	B	5,945	42.19	n/a	25-Feb	178.35	0.0
LEVIN CAPITAL STRATEGIES	041	DAL	B	66,360	14.30	n/a	27-Feb	1,990.80	0.0
MOORE CAPITAL	041	DG	B	20,650	46.71	n/a	25-Feb	619.50	0.0
FIRST NY SEC/CHRIS	041	DLTR	SS	5,000	45.62	n/a	27-Feb	250.00	5.0
RIVERPARK CAPITAL	025	DLTR	S	13,703	44.85	n/a	27-Feb	685.15	5.0
CASTLEROCK	040	DPZ	B	18,750	46.76	n/a	25-Feb	750.00	0.0
OZ MGMT	040	F	S	187,000	12.55	n/a	25-Feb	5,610.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	044	GM	S	50,000	27.50	n/a	25-Feb	2,000.00	4.0
SCOPUS FUND	041	GPI	B	20,000	57.47	n/a	20-Feb	800.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	75,000	46.27	n/a	21-Feb	2,250.00	3.0
DELTEC ASSET MGMT.	040	LCC	B	50,000	13.42	n/a	27-Feb	2,500.00	5.0
MARCATO CAPITAL MGMT.	029	LEA	B	200,000	54.01	n/a	12-Feb	6,000.00	0.0
BNP PARIBAS SEC	040	MSFT	B	50,000	27.97	n/a	n/a	1,500.00	3.0
LOMAS CAPITAL	040	MWV	B	34,500	35.29	n/a	25-Feb	1,035.00	3.0
SIGMA CAP BOBBY	044	NAV	SS	44,000	24.63	n/a	11-Jul	1,320.00	3.0
MOORE CAPITAL	041	NE	B	3,637	36.00	n/a	n/a	109.11	0.0
SIGMA CAPITAL ASSOCIATES	041	NKE	S	25,000	54.41	n/a	27-Feb	750.00	3.0
FIRST NEW YORK	086	NOK	B	20,000	3.74	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	084	NP	B	6,026	28.27	n/a	22-Feb	210.91	0.0
MATRIX ASSET ADV.	091	OXY	B	4,500	81.90	n/a	n/a	180.00	4.0
NEW JERSEY DIV OF INV.	030	PEP	S	20,000	74.95	n/a	n/a	800.00	4.0
CR INTRINSIC/CHRIS C	041	PKG	B	10,000	41.66	n/a	22-Feb	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	PKG	S	57,440	41.68	n/a	22-Feb	2,872.00	0.0
METROPOLITAN CAPITAL	044	PLCE	B	4,000	45.26	n/a	10-Jan	200.00	0.0
NUVEEN - US BANCORP		030	PPG	B	36,901	134.49	n/a	n/a	1,660.57 0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PZZA	B	2,000	50.89		n/a n/a	80.00	4.0
LOMAS CAPITAL	040	RCL	S	17,000	34.60	n/a	n/a	510.00	3.0
SANDLER CAPITAL	028	RKT	B	26,700	88.11	n/a	22-Feb	1,335.00	0.0
LEVIN CAPITAL STRATEGIES	041	ROST	C	15,150	56.71	n/a	21-Feb	454.50	0.0
HOLLIS CAPITAL	033	SPR	B	10,000	17.18	n/a	20-Feb	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	STZ	B	2,000	44.45	n/a	26-Feb	60.00	0.0
SUFFOLK CAPITAL MGMT	040	SWK	B	72,700	78.02	n/a	n/a	2,908.00	0.0
ADAGE CAPITAL MGMT	030	TGT	S	150,000	62.15	n/a	27-Feb	4,500.00	3.0
CR INTRINIC INVESTMENT	044	TGT	B	50,000	62.47	n/a	27-Feb	1,500.00	3.0
FIRST NY SEC/CHRIS	041	TGT	SS	10,000	63.24	n/a	27-Feb	500.00	5.0
J. GOLDMAN	028	TGT	S	10,000	63.15	n/a	27-Feb	400.00	4.0
PECONIC PARTNERS	036	TGT	C	97,200	63.30	n/a	27-Feb	4,860.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	75,000	63.50	n/a	27-Feb	2,250.00	3.0
LEVIN CAPITAL STRATEGIES	041	TIF	B	6,990	66.88	n/a	n/a	209.70	0.0
LEVIN CAPITAL STRATEGIES	041	TJX	C	15,150	43.62	n/a	27-Feb	454.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	TWC	B	10,000	86.79	n/a	n/a	500.00	5.0
COLUMBUS CIRCLE	036	VSI	S	5,718	52.01	n/a	n/a	228.72	0.0
HOLLIS CAPITAL	033	WLL	S	5,000	49.00	n/a	n/a	250.00	5.0
TOTAL (Trade Date):								61,188.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/22	CASTLEROCK (CASTUBS)	040	DRI	B	21,796	46.11	n/a	26-Feb	871.84 4.0
AO,CRT	02/22	CASTLEROCK (CASTUBS)	040	DRI	B	19,796	46.11	n/a	26-Feb	791.84 4.0
AO,CXL	02/26	NOKOMIS PARTNERS (NOKOCONJPM)	031	KSS	S	1,052	45.59	n/a	21-Feb	0.00 0.0
AO,CRT	02/26	NOKOMIS PARTNERS (NOKOCONJPM)	031	KSS	S	1,052	45.59	n/a	21-Feb	31.56 3.0
TOTAL (AO, CXL, CRT) :										-48.44

TOTAL (Trade Date) :	61,188.81
TOTAL (AO, CXL, CRT) :	-48.44

TOTAL (RUN DATE) / NFS :	61,140.37
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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