



Daily Compliance Activity Report

Trade Date: 01/23/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
Õ	James Mitchell		AXE	S	150	67.0900	n/a	2-Jan	0.00	0.0	
	FINDLAY PARK PART	085	BAC	B	1,444,000	11.38	n/a	17-Jan	24,646.26	0.0	
	DELTEC ASSET MGMT.	040	BEAV	S	4,627	51.05	n/a	15-Jan	231.35	5.0	
	HEIGHTS CAPITAL	251	CNI	SS	35,625	93.76	n/a	n/a	1,425.00	0.0	
	SCOPUS FUND	041	COH	B	50,000	51.32	n/a	23-Jan	2,000.00	0.0	
	S.A.C. CAPITAL	044	CRI	SS	20,000	57.82	n/a	n/a	700.00	3.5	
	HOPLITE MGMT	025	CX	B	68,128	10.35	n/a	n/a	2,725.12	0.0	
	UBS OCONNOR	031	DB	B	61,909	47.49	n/a	n/a	1,857.27	0.0	
	HEIGHTS CAPITAL	251	DE	SS	4,922	92.47	n/a	11-Jul	196.88	0.0	
Õ	James Mitchell		DRL	B	6000	0.6900	n/a	n/a	0.00	0.0	
Õ	James Mitchell		EEM	B	180	44.4750	n/a	n/a	0.00	0.0	
	CAPITAL RESEARCH GROUP		296	FAF	S	23,324	25.37	n/a	n/a	816.34	0.0
	SANDLER CAPITAL	028	FAF	B	300,000	25.39	n/a	n/a	15,000.00	0.0	
	HEIGHTS CAPITAL	251	FAST	SS	17,582	47.59	n/a	n/a	703.28	0.0	
Õ	James Mitchell		FBC	B	400	17.6100	n/a	n/a	0.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
James Mitchell		FBC	B	50	17.5700	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	FB	S	50,000	31.30	n/a	n/a	1,750.00	3.5
COOPER CREEK PART	028	FINL	B	10,000	18.11	n/a	22-Jan	400.00	4.0
PLATTE RIVER CAPITAL	046	FINL	B	26,500	18.07	n/a	22-Jan	1,060.00	0.0
HEIGHTS CAPITAL	251	GMT	B	16,177	47.02	n/a	n/a	647.08	0.0
CAERUS GLOBAL	041	GM	B	15,400	28.45	n/a	22-Jan	616.00	4.0
ROSEDALE CAPITAL	046	GM	B	10,000	28.41	n/a	22-Jan	500.00	5.0
UBS OCONNOR	031	GS	SS	35,000	145.54	n/a	17-Jan	1,050.00	0.0
STRONG/MARK GRONET	030	HDNG	S	7,900	10.80	n/a	n/a	316.00	0.0
SCOPUS FUND	041	HD	S	25,000	65.34	n/a	n/a	1,000.00	0.0
HEIGHTS CAPITAL	251	HXL	B	9,785	27.76	n/a	15-Jan	391.40	0.0
HEIGHTS CAPITAL	251	IEX	SS	14,584	49.17	n/a	n/a	583.36	0.0
DELTEC ASSET MGMT.	040	IP	B	10,000	42.10	n/a	17-Jan	500.00	5.0
TUDOR INVESTORS	028	JBHT	B	5,000	63.81	n/a	n/a	150.00	3.0
S.A.C. CAPITAL	044	KORS	S	15,000	55.74	n/a	17-Jan	525.00	3.5
CAERUS GLOBAL	041	KRFT	S	15,000	46.79	n/a	n/a	600.00	4.0
COLUMBUS CIRCLE	036	LCC	B	21,100	15.33	n/a	14-Jan	844.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CORVEX CAPITAL	041	LEA	B	10,000	47.54	n/a	22-Jan	300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LEA	S	10,000	47.52	n/a	22-Jan	300.00	3.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	25,000	37.27	n/a	n/a	875.00	3.5
J. GOLDMAN	028	LTD	SS	10,000	46.91	n/a	n/a	400.00	4.0
TOURMALINE PARTNERS CHRIS	041	MDRX	B	15,000	10.58	n/a	n/a	450.00	0.0
MACELLUM CAPITAL	086	MOV	S	21,000	36.84	n/a	n/a	630.00	3.0
SCOPUS FUND	041	M	B	25,000	38.22	n/a	14-Jan	1,000.00	0.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL)	086	NFLX	S	8,534	101.00	n/a	n/a	256.02	0.0
CR INTRINIC INVESTMENT	044	OMX	S	60,000	11.00	n/a	n/a	2,100.00	3.5
MACELLUM CAPITAL	086	OXM	S	12,700	50.14	n/a	n/a	381.00	3.0
GEORGE WEISS	278	PEP	B	13,000	71.87	n/a	n/a	520.00	0.0
ASCEND PARTNERS	033	PVH	B	400	115.75	n/a	17-Jan	12.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	5,281	77.40	n/a	23-Jan	264.05	5.0
SCOPUS FUND	041	RKT	B	8,000	79.17	n/a	23-Jan	320.00	0.0
WILLIAMS TRADING/BUE MTN	087	RKT	S	57,550	80.17	n/a	23-Jan	1,726.50	0.0
ROARING BLUE LION MGMT	031	RL	SS	5,500	163.74	n/a	5-Nov	220.00	4.0
DPB CAPITAL	029	SIRI	S	5,000	3.13	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	SKX	S	23,300	18.13	n/a	n/a	699.00	3.0
CASTLE ARK	031	SLB	B	122,490	77.68	n/a	n/a	6,124.50	0.0
ROSEDALE CAPITAL	046	STLD	S	20,000	15.28	n/a	n/a	800.00	4.0
LAKEWOOD CAPITAL MGMT	085	SVM	C	40,000	4.26	n/a	n/a	1,200.00	0.0
TUDOR INVESTORS	028	SWC	B	10,000	14.10	n/a	n/a	300.00	3.0
FARALLON CAP MGMT	040	SWHC	B	422,360	8.84	n/a	n/a	8,447.20	2.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	61.02	n/a	3-Jan	875.00	3.5
FARALLON CAP MGMT	040	TMH	S	15,290	32.46	n/a	n/a	611.60	4.0
HEIGHTS CAPITAL	251	UNP	B	19,710	134.85	n/a	n/a	788.40	0.0
MACELLUM CAPITAL	086	VRA	S	44,600	23.73	n/a	n/a	1,338.00	3.0
WAGONHOUND/NICOLAS	033	WPI	S	3,399	84.94	n/a	22-Jan	135.96	0.0
BRANDWINE	028	WRES	B	5,169	2.99	n/a	n/a	103.38	0.0
CYRUS CAPITAL	025	WTS	B	15,000	44.57	n/a	n/a	450.00	0.0
FIRST NY SEC/CHRIS	041	XRT	SS	15,000	65.61	n/a	n/a	750.00	5.0

TOTAL (Trade Date):

93,861.95

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/23	FINDLAY PARK PART (FINDAMERS)	085	BAC	B	1,425,000	11.38	n/a	17-Jan	24321.97 0.0
CRT	01/23	ROSEDALE CAPITAL (ROSEJPM)	046	STLD	S	20,000	15.28	n/a	n/a	800.00 4.0
AO,CXL	01/22	FINDLAY PARK PART (FINDAMERS)	085	STT	B	146,000	55.17	n/a	18-Jan	19410.57 0.0
AO,CRT	01/22	FINDLAY PARK PART (FINDAMERS)	085	STT	B	144,000	55.17	n/a	18-Jan	11915.73 0.0
AO,	01/22	FINDLAY PARK PART (FINDRITAC)	085	STT	B	2,000	55.17	n/a	18-Jan	165.50 0.0

TOTAL (AO, CXL, CRT) :	17,792.63
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TOTAL (Trade Date) :	93,861.95
TOTAL (AO, CXL, CRT) :	17,792.63

TOTAL (RUN DATE) / NFS :	111,654.58
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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