



Daily Compliance Activity Report

Trade Date: 01/03/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	AA	S	27,446	8.98	n/a	n/a	1,097.84	0.0
EPOCH INV MGMT	030	AET	B	2,564	46.09	n/a	n/a	76.92	0.0
PATTEN & PATTEN	025	AIG	B	1,000	36.29	n/a	n/a	50.00	5.0
ELM RIDGE ADVISORS	044	AMAT	S	17,254	11.72	n/a	n/a	690.16	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ASNA	SS	25,000	18.06	n/a	n/a	750.00	3.0
BTG PACTUAL	040	AXL	S	10,000	11.72	n/a	31-Dec	300.00	3.0
CATAPULT	040	AXL	B	30,739	12.00	n/a	31-Dec	1,229.56	0.0
GEORGE WEISS	034	AXL	S	5,000	12.11	n/a	31-Dec	200.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	25,000	11.98	n/a	31-Dec	1,000.00	4.0
CENTURION PARTNERS	041	BCS	S	10,000	17.76	n/a	n/a	400.00	4.0
FORWARD MGMT	033	BID	B	5,000	34.82	n/a	n/a	200.00	0.0
UNITED STATES PENSION	085	BK	S	400,000	26.57	n/a	20-Dec	16,000.00	4.0
BALYASNY ASSET MGMT	044	BMV	SS	10,000	33.14	n/a	n/a	500.00	0.0
M&I FUNDS	047	CHKP	B	30,000	48.27	n/a	n/a	1,200.00	4.0
CENTURION PARTNERS	041	CROX	B	10,000	15.16	n/a	n/a	400.00	4.0
FARALLON CAP MGMT	040	DG	B	94,721	42.24	n/a	12-Dec	3,788.84	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BTG PACTUAL	040	DKS	B	2,400	46.13	n/a	21-Dec	72.00	3.0
BTG PACTUAL	040	DKS	S	1,059	46.91	n/a	21-Dec	31.77	3.0
SCOPUS FUND	041	DKS	B	31,457	46.83	n/a	21-Dec	1,258.28	0.0
LATEEF MGMT	035	DOW	S	500	33.45	n/a	19-Dec	50.00	10.0
SANDLER CAPITAL	028	EFX	S	137,420	54.40	n/a	n/a	6,871.00	0.0
DELTEC ASSET MGMT.	040	EMC	B	20,000	24.61	n/a	4-Dec	1,000.00	5.0
WOOSTER CAPITAL	035	EMC	B	50,000	24.53	n/a	4-Dec	2,500.00	5.0
BRONSON POINT	036	ETN	S	25,000	56.15	n/a	4-Dec	750.00	0.0
GLG PARTNERS	034	FDO	B	15,410	56.65	n/a	26-Dec	462.30	0.0
SCOUT/UMB	047	FDO	S	160,919	55.98	n/a	26-Dec	4,827.57	0.0
FORWARD MGMT	033	FEIC	B	2,500	57.88	n/a	n/a	100.00	0.0
FORWARD MGMT	033	FSL	B	20,000	11.60	n/a	n/a	800.00	0.0
BNP PARIBAS SEC	040	F	B	30,000	13.49	n/a	3-Jan	900.00	3.0
OZ MGMT	040	F	C	130,641	13.62	n/a	3-Jan	3,919.23	0.0
WOOSTER CAPITAL	035	F	SS	100,000	13.60	n/a	3-Jan	4,000.00	4.0
ELM RIDGE ADVISORS	044	GLW	S	18,790	12.81	n/a	27-Nov	751.60	0.0
CYPRESS CAP MGMT LLC	040	GME	SS	42,800	24.41	n/a	n/a	1,712.00	4.0
BNP PARIBAS SEC	040	GM	S	40,000	29.44	n/a	3-Jan	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	GM	B	28,886	29.79	n/a	3-Jan	1,155.44	0.0
CATAPULT	040	GM	SS	14,400	29.68	n/a	3-Jan	576.00	0.0
CENTURION PARTNERS	041	GM	B	5,000	30.04	n/a	3-Jan	200.00	4.0
OZ MGMT	040	GM	B	100,000	29.35	n/a	3-Jan	3,000.00	0.0
PHILADELPHIA FINANCIAL	033	GM	B	100,000	29.76	n/a	3-Jan	4,000.00	0.0
COLUMBUS CIRCLE	036	HAIN	S	10,914	54.16	n/a	n/a	436.56	0.0
BALYASNY ASSET MGMT	044	HCA	B	50,000	31.62	n/a	n/a	2,500.00	0.0
Õ Doug Rogers		HCA	B	4000104.2500		n/a	n/a	0.00	0.0
Õ Doug Rogers		HCA	B	5000104.2000		n/a	n/a	0.00	0.0
Õ Doug Rogers		HCA	B	5000104.2000		n/a	n/a	0.00	0.0
LATEEF MGMT	035	HPQ	B	500	15.36	n/a	n/a	50.00	10.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	2,500	86.99	n/a	n/a	100.00	0.0
LATEEF MGMT	035	IP	S	500	40.26	n/a	18-Dec	50.00	10.0
ELM RIDGE ADVISORS	044	JCI	S	2,376	31.25	n/a	20-Dec	95.04	0.0
FORWARD MGMT	033	JIVE	B	10,000	15.25	n/a	n/a	400.00	0.0
J. GOLDMAN	028	JWN	S	15,000	54.94	n/a	2-Jan	600.00	4.0
MERRILL ASSET/BLACKROCK	297	KMPR	S	40,000	30.62	n/a	n/a	1,600.00	0.0
SCOPUS FUND	041	LAD	B	20,000	39.86	n/a	n/a	800.00	0.0
VERITION	028	LEA	B	10,000	47.26	n/a	7-Dec	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	035	LEA	B	40,000	47.65	n/a	7-Dec	2,000.00	5.0
ELM RIDGE ADVISORS	044	LLY	S	7,099	49.53	n/a	n/a	283.96	0.0
1798 CAP/LOMBARD ASSET	040	MDU	B	10,000	21.72	n/a	n/a	500.00	0.0
ELM RIDGE ADVISORS	044	MRK	S	6,918	41.67	n/a	n/a	276.72	0.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	4.17	n/a	n/a	800.00	4.0
BARROW HANLEY MEWHINNEY	031	OXY	B	38,600	79.17	n/a	n/a	1,351.00	0.0
ROSEDALE CAPITAL	046	PBCT	S	50,000	12.45	n/a	26-Nov	2,000.00	4.0
MATRIX ASSET ADV.	091	PEP	B	1,500	69.25	n/a	n/a	60.00	4.0
STANDARD PACIFIC CAPITAL	084	PHM	B	202,700	18.80	n/a	n/a	10,135.00	5.0
SCOPUS FUND	041	SKS	B	50,000	10.67	n/a	n/a	2,000.00	0.0
UNITED STATES PENSION	085	SPY	B	72,500	145.50	n/a	n/a	2,175.00	3.0
HARVEST MGMT (JMP)	029	SWHC	B	9,300	8.86	n/a	n/a	372.00	4.0
DPB CAPITAL	029	S	S	5,000	5.78	n/a	n/a	250.00	5.0
BARROW HANLEY MEWHINNEY	031	TEVA	S	13,900	37.50	n/a	31-Dec	486.50	0.0
LATEEF MGMT	035	TEVA	B	275	37.60	n/a	31-Dec	27.50	10.0
PATTEN & PATTEN	025	TIF	B	300	60.16	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	TRW	B	10,000	55.00	n/a	n/a	300.00	3.0
FORWARD MGMT	033	VPFG	B	15,000	21.63	n/a	n/a	600.00	0.0
ELM RIDGE ADVISORS	044	VSH	S	3,428	10.69	n/a	n/a	137.12	0.0
ELM RIDGE ADVISORS	044	WLP	S	2,602	59.58	n/a	n/a	104.08	0.0
T. ROWE PRICE	033	WY	S	63,757	29.14	n/a	28-Dec	2,550.28	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	25,000	63.41	n/a	n/a	750.00	0.0
TOTAL (Trade Date) :							102,126.27		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/02	SAC TRADING TOM LEDDY (SACHCITI)	035	MCD	B	165,000	89.75	n/a	3-Jan	5775.00 3.5
AO,CXL	01/02	SAC TRADING TOM LEDDY (SACHMLLEDY)	035	MCD	B	165,000	89.75	n/a	3-Jan	5775.00 3.5

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	102,126.27
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	102,126.27
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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