



Daily Compliance Activity Report

Trade Date: 02/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOOSTER CAPITAL	044	ALV	B	15,000	64.21	n/a	1-Feb	600.00	4.0
WHITE PINE CAPITAL	030	ARO	B	1,750	13.28	n/a	n/a	87.50	0.0
TUDOR INVESTORS	028	AXL	S	25,000	11.66	n/a	4-Feb	750.00	3.0
VERITION	028	AXL	B	5,000	11.74	n/a	4-Feb	150.00	3.0
WAGONHOUND/NICOLAS	033	AXL	S	66,353	11.69	n/a	4-Feb	2,654.12	0.0
OZ MGMT	040	BA	S	67,590	76.83	n/a	6-Feb	2,027.70	0.0
RIVERPARK CAPITAL	025	BBRY	B	15,976	16.40	n/a	n/a	798.80	5.0
TUDOR INVESTORS	028	BKE	SS	12,500	45.09	n/a	n/a	375.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CNX	B	5,000	30.74	n/a	n/a	200.00	4.0
STELLIAM INV ADV	086	COF	B	2,500	57.76	n/a	7-Feb	100.00	0.0
CR INTRINIC INVESTMENT	044	COST	B	10,000	101.71	n/a	n/a	300.00	3.0
ARSENAL ASSET MANAGEMENT	028	CYT	B	5,000	72.90	n/a	n/a	200.00	0.0
LATEEF MGMT	033	DAL	S	600	14.82	n/a	4-Feb	54.00	9.0
STELLIAM INV ADV	086	DAL	S	40,000	14.59	n/a	4-Feb	1,600.00	0.0
DECADE CAPITAL CHRIS C	041	DAN	SS	17,000	16.37	n/a	15-Jan	680.00	0.0
TUDOR INVESTORS	028	DAN	B	10,000	16.50	n/a	15-Jan	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	DLTR	B	25,000	39.40	n/a	20-Nov	750.00	3.0
CAMBIAR CAP	046	FINL	B	50,000	18.35	n/a	6-Feb	2,000.00	0.0
KENNEDY CAPITAL	046	FINL	B	100,000	18.30	n/a	6-Feb	4,000.00	0.0
SURVEYOR CAPITAL	251	FINL	S	50,000	18.25	n/a	6-Feb	1,500.00	0.0
ELM RIDGE ADVISORS	044	FLEX	S	24,540	6.58	n/a	n/a	981.60	0.0
TRELLUS PARTNERS LP	028	GM	B	2,800	28.43	n/a	7-Feb	84.00	0.0
TROUBH PART	070	GM	S	25,000	28.23	n/a	7-Feb	1,250.00	5.0
BALYASNY ASSET MGMT	044	GPS	B	25,000	32.37	n/a	n/a	1,250.00	0.0
ROTHSCHILD ASSET	040	GPS	B	114,552	32.95	n/a	n/a	4,582.08	0.0
CR INTRINIC INVESTMENT	044	HAS	B	30,000	38.60	n/a	n/a	900.00	3.0
J. GOLDMAN	028	HBI	SS	10,000	39.52	n/a	6-Feb	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	93.20	n/a	n/a	200.00	0.0
STELLIAM INV ADV	086	INTC	B	5,000	20.91	n/a	n/a	200.00	0.0
DELTEC ASSET MGMT.	040	IP	B	10,000	42.37	n/a	5-Feb	500.00	5.0
SCOPUS FUND	041	IP	S	10,000	41.89	n/a	5-Feb	400.00	4.0
EATON VANCE MGMT	029	JNJ	S	200,000	75.07	n/a	n/a	6,000.00	0.0
CR INTRINIC INVESTMENT	044	JWN	B	10,000	54.90	n/a	1-Feb	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	SS	25,000	46.62	n/a	1-Feb	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	KSS	SS	11,100	46.09	n/a	1-Feb	333.00	3.0
WEXFORD CAPITAL	284	LPX	B	50,000	20.01	n/a	7-Feb	1,500.00	3.0
DECADE CAPITAL CHRIS C	041	LSTR	SS	9,200	56.74	n/a	n/a	368.00	0.0
BRONSON POINT	036	MS	B	50,000	23.53	n/a	7-Feb	1,500.00	0.0
STELLIAM INV ADV	086	MU	B	17,500	8.00	n/a	n/a	350.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MWW	B	40,000	5.22		n/a	n/a	1,200.00 3.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MWW	S	10,000	5.50		n/a	n/a	300.00 3.0
S.A.C. CAPITAL	044	M	B	20,000	40.46	n/a	1-Feb	600.00	3.0
FIRST NEW YORK	086	NOK	B	20,000	4.08	n/a	n/a	800.00	4.0
BRONSON POINT	036	OCN	S	12,799	40.80	n/a	n/a	383.97	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	80.85	n/a	5-Feb	750.00	5.0
CAERUS GLOBAL	041	RL	B	3,700	176.46	n/a	7-Feb	148.00	4.0
CORNERSTONE	030	RL	B	54,275	175.06	n/a	7-Feb	1,628.25	0.0
WAGONHOUND/NICOLAS	033	RL	B	3,948	177.53	n/a	7-Feb	157.92	0.0
NOMURA/ANGEL LANE PRINCIPAL040		ROST	B	18,000	61.14	n/a	1-Feb	540.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040		SBH	B	175,000	25.75	n/a	n/a	5,250.00	3.0
DPB CAPITAL	029	SIRI	S	5,000	3.14	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STELLIAM INV ADV	086	SNDK	B	5,000	50.51	n/a	n/a	200.00	0.0
WEXFORD CAPITAL	284	SSI	S	21,000	24.13	n/a	1-Feb	630.00	3.0
STELLIAM INV ADV	086	STX	B	5,000	34.47	n/a	n/a	200.00	0.0
DECADE CAPITAL CHRIS C	041	TEN	B	7,500	36.30	n/a	n/a	300.00	0.0
SCOPUS FUND	041	TGT	SS	25,000	62.20	n/a	7-Feb	1,000.00	4.0
KENNEDY CAPITAL	046	TRLG	S	9,580	27.83	n/a	n/a	383.20	0.0
FIRST NEW YORK	086	UAL	SS	15,000	25.22	n/a	4-Feb	600.00	4.0
MERRILL ASSET/BLACKROCK	297	V	S	16,300	158.39	n/a	7-Feb	652.00	0.0
LIONEYE CAPITAL	040	WCRX	B	42,500	14.40	n/a	7-Feb	2,125.00	5.0
MERRILL ASSET/BLACKROCK	297	WRB	B	27,800	41.53	n/a	n/a	1,112.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	67.75	n/a	n/a	450.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	37,500	23.35	n/a	n/a	1,125.00	3.0
TOTAL (Trade Date) :								61,761.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									61,761.14
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									61,761.14
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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