

Daily Compliance Activity Report Trade Date: 02/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BASSWOOD PARTNERS	267	AON	S	2,500	60.37	n/a	n/a	100.00	0.0
M&I FUNDS	047	ARO	В	9,800	12.82	n/a	n/a	392.00	4.0
DC CAPITAL	044	ATI	В	100,000	29.90	n/a	25-Feb	4,000.00	4.0
NEUBERGER BERMAN	036	BKU	В	19,401	27.69	n/a	n/a	776.04	0.0
NEUBERGER BERMAN	036	ВОН	В	19,079	48.84	n/a	n/a	763.16	0.0
NEUBERGER BERMAN	036	BOKF	В	12,193	58.86	n/a	n/a	487.72	0.0
BERYLSON CAPITAL	030	BONT	В	100,000	10.48	n/a	21-Feb	3,000.00	3.0
NEUBERGER BERMAN	036	CBU	В	15,092	28.51	n/a	n/a	603.68	0.0
ROBERTSON STEVENS	084	CMP	S	10,600	76.63	n/a	n/a	423.98	0.0
SCOPUS FUND	041	CMP	В	25,000	76.50	n/a	n/a	1,000.00	0.0
MERRILL ASSET/BLACKROCK	297	COF	В	24,000	52.42	n/a	25-Feb	960.00	0.0
THREE G	041	СОН	S	159,788	47.22	n/a	14-Feb	4,793.64	0.0
J. GOLDMAN	028	COST	SS	2,000	101.87	n/a	n/a	80.00	4.0
J. GOLDMAN	028	DDS	SS	3,840	77.75	n/a	n/a	153.60	4.0
MACELLUM CAPITAL	086	DECK	S	52,000	40.76	n/a	n/a	1,560.00	0.0

BASSWOOD PARTNERS 267 DOV S 5,600 73.00 n/a n/a 224. LATEEF MGMT 033 DON B 100 31.39 n/a n/a 25. SIGMA CAPITAL ASSOCIATES 041 DPZ S 50,000 45.77 n/a 25-Feb 1,500. LOMAS CAPITAL 040 DRI B 77,000 46.10 n/a 25-Feb 2,310. NOMURA/ANGRL LANE PRINCIPAL040 DRI B 66,958 45.52 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. MGI FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. MGI FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a n/a 30.												_
LATEEF MGMT 033 DOW B 100 31.39 n/a n/a 25. SIGMA CAPITAL ASSOCIATES 041 DPZ S 50,000 45.77 n/a 25-Feb 1,500. LOMAS CAPITAL 040 DRI B 77,000 46.10 n/a 25-Feb 2,310. NOMURA/ANGEL LANE PRINCIPAL040 DRI B 66,958 45.52 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 1,500. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a 25-Feb 30. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. MGI FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 3,000. MGI FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a 10.4 n/a 30.	s P	Shares	Shar	Shares	Shares	s P	Price	MRI	Research	Comm.	¢/Shr.	
SIGMA CAPITAL ASSOCIATES 041 DPZ S 50,000 45.77 n/a 25-Feb 1,500. LOMAS CAPITAL 040 DRI B 77,000 46.10 n/a 25-Feb 2,310. NOMURA/ANGEL LANE PRINCIPAL040 DRI B 66,958 45.52 n/a 25-Feb 2,008 NOMURA/ANGEL LANE PRINCIPAL040 DRI S 16,958 45.57 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. MGI FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	73	5,600	5,60	5,600	5,600	73	3.00	n/a	n/a	224.00	0.0	
LOMAS CAPITAL 040 DRI B 77,000 46.10 n/a 25-Feb 2,310. NOMURA/ANGEL LANE PRINCIPAL040 DRI B 66,958 45.52 n/a 25-Feb 2,008 NOMURA/ANGEL LANE PRINCIPAL040 DRI S 16,958 45.57 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M61 FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F S 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M61 FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	31	100	10	100	100	31	1.39	n/a	n/a	25.00	25.0	
NOMURA/ANGEL LANE PRINCIPALO40 DRI B 66,958 45.52 n/a 25-Feb 2,008 NOMURA/ANGEL LANE PRINCIPALO40 DRI S 16,958 45.57 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500 LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30 BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176 KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000 M&I FUNDS 047 FINL B 1,950 18.05 n/a 25-Feb 78 FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800 RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 25-Feb 3,000 OZ M	45	50,000	50,00	50,000	0,000	45	5.77	n/a	25-Feb	1,500.00	3.0	
NOMURA/ANGEL LANE PRINCIPALO40 DRI S 16,958 45.57 n/a 25-Feb 508 OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 25-Feb 900. 0Z MGMT 040 F S 30,000 12.20 n/a 25-Feb 3,000. M&	46	77,000	77,00	77,000	7 , 000	46	6.10	n/a	25-Feb	2,310.00	3.0	
OZ MGMT 040 DRI B 50,000 45.49 n/a 25-Feb 1,500. LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 25-Feb 900. OZ MGMT 040 F S 30,000 12.20 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LAT	8 4	66,958	66,9	66,958	66,958	3 4	45.52	n/a	25-Feb	2,008.74	3.0	
LATEEF MGMT 033 DVN B 100 55.34 n/a 25-Feb 30. BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	8 4	16,958	s 16,9	16,958	16,958	3 4	45.57	n/a	25-Feb	508.74	3.0	
BASSWOOD PARTNERS 267 ESV B 4,400 60.87 n/a n/a 176. KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. 0Z MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	45	50,000	50,00	50,000	0,000	45	5.49	n/a	25-Feb	1,500.00	0.0	
KENNEDY CAPITAL 046 FINL B 50,000 17.99 n/a 20-Feb 2,000. M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a n/a 30.	55	100	10	100	100	55	5.34	n/a	25-Feb	30.00	30.0	
M&I FUNDS 047 FINL B 1,950 18.05 n/a 20-Feb 78. FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	60	4,400	4,40	4,400	4,400	60	0.87	n/a	n/a	176.00	0.0	
FARBER 085 FL B 20,000 33.62 n/a 25-Feb 800. RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	17	50,000	50,00	50,000	0,000	17	7.99	n/a	20-Feb	2,000.00	0.0	
RIVERPARK CAPITAL 025 FSLR B 6,700 33.33 n/a n/a 335. LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	18	1,950	1,95	1,950	1,950	18	8.05	n/a	20-Feb	78.00	4.0	
LEVIN CAPITAL STRATEGIES 041 F SS 30,000 12.20 n/a 25-Feb 900. OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000. M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	33	20,000	20,00	20,000	0,000	33	3.62	n/a	25-Feb	800.00	4.0	
OZ MGMT 040 F S 100,000 12.47 n/a 25-Feb 3,000 M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	33	6,700	6 , 70	6,700	6 , 700	33	3.33	n/a	n/a	335.00	5.0	
M&I FUNDS 047 GES B 1,850 28.13 n/a 25-Feb 74. LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	12	30,000	s 30,00	30,000	0,000	12	2.20	n/a	25-Feb	900.00	0.0	
LATEEF MGMT 033 GIS S 100 45.84 n/a n/a 30.	12	100,000	100,00	100,000	0,000	12	2.47	n/a	25-Feb	3,000.00	0.0	
	28	1,850	1,85	1,850	1,850	28	8.13	n/a	25-Feb	74.00	4.0	
	45	100	10	100	100	45	5.84	n/a	n/a	30.00	30.0	
OZ MGMT 040 GM S 59,141 26.91 n/a 25-Feb 1,774.	26	59,141	59 , 14	59 , 141	9,141	26	6.91	n/a	25-Feb	1,774.23	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
TUDOR INVESTORS	028	HIBB	В	12,500	51.82	n/a	n/a	375.00	3.0
LATEEF MGMT	033	HPQ	В	125	19.17	n/a	n/a	25.00	20.0
OZ MGMT	040	IP	S	86,099	43.28	n/a	25-Feb	2,582.97	0.0
HARVEST MGMT (JMP)	029	KSS	В	10,000	46.25	n/a	21-Feb	400.00	4.0
NEUBERGER BERMAN	036	LDR	S	2,097	58.42	n/a	n/a	83.88	0.0
SENATOR INVESTMENT GROUP	036	LEA	S	53,600	54.25	n/a	12-Feb	1,608.00	3.0
BASSWOOD PARTNERS	267	MLHR	S	1,900	24.00	n/a	n/a	76.00	0.0
HARVEST MGMT (JMP) LEVIN CAPITAL STRATEGIES	029	M M	SS S	10,000 117,273	39.21 38.86	n/a n/a	21-Feb 21-Feb	400.00 3,518.19	4.0
TUDOR INVESTORS	028	NKE	S	25,000	54.64	n/a	20-Feb	750.00	3.0
THREE G	041	NLSN	S	30,500	32.72	n/a	n/a	915.00	0.0
MERRILL ASSET/BLACKROCK	297	SF	В	15,100	38.00	n/a	n/a	604.00	0.0
M&I FUNDS	047	STNR	В	1,250	45.04	n/a	n/a	50.00	4.0
SENATOR INVESTMENT GROUP	036	TGT	SS	100,000	63.44	n/a	25-Feb	3,000.00	3.0
DENVER INST. ADV	046	TUMI	В	30,500	23.32	n/a	n/a	1,220.00	0.0
NEWLAND CAPITAL MGT	025	UFS	S	7,500	75.68	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr	•
RATAN CAPITAL MGMT LP	041	VRX	В	50,000	66.04	n/a	n/a	1,500.00 3.0	
MERRILL ASSET/BLACKROCK	297	WAL	В	57,400	13.32	n/a	n/a	2,296.00 0.0	
DECADE CAPITAL CHRIS C	041	WBC	SS	4,504	67.84	n/a	15-Feb	180.16 0.0	
SENATOR INVESTMENT GROUP	036	WCRX	В	96,640	13.79	n/a	25-Feb	2,899.20 3.0	
MERRILL ASSET/BLACKROCK	297	WFC	S	38,800	35.12	n/a	25-Feb	1,552.00 0.0	
ASCEND PARTNERS	033	WTR	В	18,006	28.72	n/a	n/a	540.18 0.0	
TUDOR INVESTORS	028	ZUMZ	В	20,000	22.29	n/a	n/a	600.00 3.0	

TOTAL (Trade Date): 61,843.11

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	02/25	DC CAPITAL (DCCAGOLDMA)	044	ATI	В	100,000	29.90	n/a	25-Feb	4000.00	4.0
CRT	02/25	NOMURA/ANGEL LANE PRINCIPAL	(NOMDALPS)040	DRI	В	50,000	45.52	n/a	25-Feb	1500.00	3.0
AO,CXL	02/22	OZ MGMT (OZFFUBSWA)	040	DRI	S	670	46.13	n/a	25-Feb	20.10	0.0
AO,	02/22	OZ MGMT (OZFFUBSWA)	040	DRI	S	666	46.13	n/a	25-Feb	19.98	0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	43,791	46.13	n/a	25-Feb	1313.73	0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,584	46.13	n/a	25-Feb	47.52	0.0
AO,CXL	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,607	46.13	n/a	25-Feb	48.21	0.0
10,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	43,802	46.13	n/a	25-Feb	1314.06	0.0
AO,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,600	46.13	n/a	25-Feb	48.00	0.0
AO,	02/22	OZ MGMT (OZFFJPMBS)	040	DRI	S	1,600	46.13	n/a	25-Feb	48.00	0.0
AO,CXL	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,148	46.13	n/a	25-Feb	34.44	0.0
AO,CXL	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,034	46.13	n/a	25-Feb	31.02	0.0
AO,	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,033	46.13	n/a	25-Feb	30.99	0.0
AO,	02/22	OZ MGMT (OZFFCSFB)	040	DRI	S	1,133	46.13	n/a	25-Feb	33.99	0.0

TOTAL (AO, CXL, CRT):	5,500.00

TOTAL (RUN DATE) / NFS:	67,343.11
TOTAL (AO, CXL, CRT):	5,500.00
TOTAL (Trade Date):	61,843.11

Legend:

O: 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