

Daily Compliance Activity Report Trade Date: 12/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	PZENA INV ADV	044	ABT	S	150	64.74	n/a	n/a	5.25	0.0
	NCM CAPITAL MGMT	035	ADT	S	46,285	44.05	n/a	n/a	1,851.40	0.0
	CYRUS CAPITAL	025	AIG	В	205,000	33.39	n/a	n/a	6,150.00	3.0
	SAC CHICAGO ANDREW	031	ANF	S	20,000	45.55	n/a	15-Nov	700.00	3.5
	HARVEST MGMT (JMP)	029	ARO	В	10,000	14.06	n/a	n/a	400.00	4.0
	NOMURA/ANGEL LANE PRINCIE	PAL040	ASH	В	20,000	71.70	n/a	3-Dec	600.00	3.0
	BRONSON POINT	036	BIG	SS	25,000	31.57	n/a	4-Dec	750.00	0.0
	HARVEST MGMT (JMP)	029	BIG	SS	10,000	30.11	n/a	4-Dec	400.00	4.0
	SAC CHICAGO ANDREW	031	BIG	В	13,884	29.85	n/a	4-Dec	485.94	3.5
	CENTURION PARTNERS	041	BKW	S	35,000	16.83	n/a	n/a	1,400.00	4.0
	PATTEN & PATTEN	025	BP	В	700	40.87	n/a	n/a	35.00	5.0
	NCM CAPITAL MGMT	035	BRCM	В	64,400	32.50	n/a	n/a	2,454.00	0.0
	TRUST CO OF THE WEST/NY	040	CLF	S	5,200	29.43	n/a	n/a	260.00	0.0
	TRUST CO/COWEN/CALF.	040	CLF	S	108,800	29.43	n/a	n/a	5,440.00	0.0
	BRONSON POINT	036	CMI	SS	25,000	97.46	n/a	n/a	750.00	0.0
	SAFRA ASSET MGMT.	040	CMI	В	5,000	97.69	n/a	n/a	150.00	3.0

Account	RR #	RR # Symbol B/S		Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	COP	В	10,000	56.66	n/a	n/a	352.00	3.7
PZENA INV ADV	044	С	В	4,100	34.40	n/a	4-Dec	143.50	0.0
MACELLUM CAPITAL	086	DG	SS	8,590	47.92	n/a	4-Dec	257.70	0.0
SAC CHICAGO ANDREW	031	DKS	SS	5,000	51.90	n/a	13-Nov	175.00	3.5
EPOCH INV MGMT	030	DRI	S	110,000	47.37	n/a	26-Nov	3,300.00	0.0
HARVEST MGMT (JMP)	029	EAT	SS	5,000	28.99	n/a	25-Oct	200.00	4.0
PARKWEST	084	EPOC	В	1,700	9.40	n/a	n/a	51.00	3.0
ROTHSCHILD ASSET	040	EPR	В	46,177	45.87	n/a	n/a	1,847.08	0.0
COHE & STEERS	041	EQR	S	4,286	55.14	n/a	n/a	171.44	0.0
ROYCE TRADING	031	FINL	В	2,000	20.44	n/a	28-Sep	100.00	0.0
ROARING BLUE LION MGMT	031	FL	В	4,270	35.50	n/a	16-Nov	170.80	4.0
PROSPECTOR PARTNERS LLC	036	FOR	В	10,000	14.95	n/a	8-Nov	328.00	3.6
HARVEST MGMT (JMP)	029	FRED	В	10,000	13.19	n/a	n/a	400.00	4.0
ACK ASSET	028	GMT	S	22,247	41.75	n/a	n/a	667.41	0.0
NOMURA/ANGEL LANE PRINCIP	PAL040	GM	S	55,000	24.97	n/a	4-Dec	1,650.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ROSEDALE CAPITAL	046	GM	В	15,000	25.31	n/a	4-Dec	750.00	5.0
HARVEST MGMT (JMP)	029	GNC	SS	10,000	33.82	n/a	n/a	400.00	4.0
PORTER-ORLIN	044	GNC	В	70,000	34.21	n/a	n/a	2,800.00	4.0
PZENA INV ADV	044	GOOG	S	350	688.03	n/a	n/a	12.25	0.0
HARVEST MGMT (JMP)	029	GPI	В	5,000	61.85	n/a	4-Dec	200.00	4.0
SIMMONS VENTURES	041	GPS	В	10,000	31.00	n/a	n/a	400.00	4.0
LONG POND	029	GRT	S	27,137	10.78	n/a	n/a	1,085.48	4.0
CR INTRINIC INVESTMENT	044	HBI	В	30,000	36.00	n/a	30-Nov	1,050.00	0.0
KLEINHEINZ CAP PART	031	HBI	S	75,000	35.95	n/a	30-Nov	3,750.00	0.0
CHARTER OAK	033	HOLX	В	25 , 000	18.57	n/a	n/a	1,250.00	5.0
HARVEST MGMT (JMP)	029	HPQ	В	10,000	13.07	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	В	50,000	36.46	n/a	25-Oct	2,500.00	5.0
NOMURA/ANGEL LANE PRINCI	PAL040	IP	В	10,000	36.38	n/a	25-Oct	300.00	3.0
SYMPHONY ASSET	033	IWM	С	9,710	81.87	n/a	n/a	291.30	0.0
Manny Korman		JPM.PREF	В	600 2	25.0800	n/a	n/a	0.00	0.0
LATEEF MGMT	035	KR	S	900	26.66	n/a	n/a	100.00	11.3
CENTURION PARTNERS	041	LTD	В	7,000	51.66	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PLATTE RIVER CAPITAL LISTED ERR	240 099	TUA TAA	S B	52,000 25,995	9.61 9.61	n/a n/a	n/a n/a	2,080.00	0.0
S.A.C. CAPITAL	044	MAS	SS	25,000	16.55	n/a	n/a	875.00	3.5
RIVERPARK CAPITAL	025	MNST	S	18,289	51.80	n/a	n/a	914.45	0.0
BNP PARIBAS SEC	040	MOS	SS	10,000	53.01	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	30.60	n/a	24-Oct	1,250.00	5.0
BNP PARIBAS SEC	040	OLN	В	20,000	20.94	n/a	n/a	600.00	3.0
PZENA INV ADV	044	OMC	S	2,250	49.28	n/a	n/a	78.76	0.0
SAC CHICAGO ANDREW	031	ORLY	SS	3 , 585	93.07	n/a	n/a	125.48	3.5
SAC CHICAGO ANDREW	031	PETM	SS	15,000	70.49	n/a	n/a	525.00	3.5
SAC CHICAGO ANDREW	031	RCII	SS	5,000	35.04	n/a	n/a	175.00	3.5
LONG POND	029	SPF	SS	190,000	6.75	n/a	n/a	5,700.00	3.0
J. GOLDMAN	028	TEX	В	40,000	24.21	n/a	n/a	1,600.00	4.0
HARVEST MGMT (JMP)	029	TSCO	SS	10,000	84.56	n/a	n/a	400.00	4.0
NCM CAPITAL MGMT	035	TTEK	S	50,325	25.65	n/a	n/a	2,013.00	0.0
SCOPUS FUND	041	TZOO	В	10,000	18.02	n/a	n/a	400.00	0.0
	PLATTE RIVER CAPITAL LISTED ERR S.A.C. CAPITAL RIVERPARK CAPITAL BNP PARIBAS SEC CSFB GLOBAL PROPRIETARY BNP PARIBAS SEC PZENA INV ADV SAC CHICAGO ANDREW SAC CHICAGO ANDREW LONG POND J. GOLDMAN HARVEST MGMT (JMP) NCM CAPITAL MGMT	PLATTE RIVER CAPITAL LISTED ERR 099 S.A.C. CAPITAL 044 RIVERPARK CAPITAL 025 BNP PARIBAS SEC 040 CSFB GLOBAL PROPRIETARY 041 BNP PARIBAS SEC 040 PZENA INV ADV 044 SAC CHICAGO ANDREW 031 SAC CHICAGO ANDREW 031 LONG POND 029 J. GOLDMAN 028 HARVEST MGMT (JMP) 029 NCM CAPITAL MGMT 035	PLATTE RIVER CAPITAL LISTED ERR S.A.C. CAPITAL RIVERPARK CAPITAL BNP PARIBAS SEC CSFB GLOBAL PROPRIETARY BNP PARIBAS SEC O40 MWV BNP PARIBAS SEC O40 OLN PZENA INV ADV SAC CHICAGO ANDREW O31 RCII LONG POND O29 SPF J. GOLDMAN O28 TEX HARVEST MGMT (JMP) O35 TTEK	PLATTE RIVER CAPITAL LISTED ERR S.A.C. CAPITAL RIVERPARK CAPITAL BNP PARIBAS SEC CSFB GLOBAL PROPRIETARY BNP PARIBAS SEC O40 MOS SS CSFB GLOBAL PROPRIETARY O41 MWV S BNP PARIBAS SEC O40 OLN B PZENA INV ADV O44 OMC S SAC CHICAGO ANDREW O31 ORLY SS SAC CHICAGO ANDREW O31 RCII SS LONG POND O29 SPF SS J. GOLDMAN O28 TEX B HARVEST MGMT (JMP) O29 TSCO SS NCM CAPITAL MGMT O35 TTEK SS	PLATTE RIVER CAPITAL LISTED ERR D99 LUV B 25,995 S.A.C. CAPITAL 044 MAS SS 25,000 RIVERPARK CAPITAL 025 MNST S 18,289 BNP PARIBAS SEC 040 MOS SS 10,000 CSFB GLOBAL PROPRIETARY 041 MWV S 25,000 BNP PARIBAS SEC 040 OLN B 20,000 PZENA INV ADV 044 OMC S 2,250 SAC CHICAGO ANDREW 031 ORLY SS 3,585 SAC CHICAGO ANDREW 031 PETM SS 15,000 LONG POND 029 SPF SS 190,000 J. GOLDMAN 028 TEX B 40,000 NCM CAPITAL MGMT 035 TTEK S 50,325	PLATTE RIVER CAPITAL LISTED ERR 099 LUV B 25,995 9.61 S.A.C. CAPITAL 044 MAS SS 25,000 16.55 RIVERPARK CAPITAL 025 MNST S 18,289 51.80 BNP PARIBAS SEC 040 MOS SS 10,000 53.01 CSFB GLOBAL PROPRIETARY 041 MWV S 25,000 30.60 BNP PARIBAS SEC 040 OLN B 20,000 20.94 PZENA INV ADV 044 OMC S 2,250 49.28 SAC CHICAGO ANDREW 031 ORLY SS 3,585 93.07 SAC CHICAGO ANDREW 031 RCII SS 5,000 35.04 LONG POND 029 SPF SS 190,000 6.75 J. GOLDMAN 028 TEX B 40,000 24.21 HARVEST MGMT (JMP) 029 TSCO SS 10,000 84.56 NCM CAPITAL MGMT 035 TTEK S 50,325 25.65	PLATTE RIVER CAPITAL LISTED ERR 099 LUV B 25,995 9.61 n/a S.A.C. CAPITAL 044 MAS SS 25,000 16.55 n/a RIVERPARK CAPITAL 025 MNST S 18,289 51.80 n/a BNP PARIBAS SEC 040 MOS SS 10,000 53.01 n/a CSFB GLOBAL PROPRIETARY 041 MWV S 25,000 30.60 n/a BNP PARIBAS SEC 040 OLN B 20,000 20.94 n/a PZENA INV ADV 044 OMC S 2,250 49.28 n/a SAC CHICAGO ANDREW 031 PETM SS 15,000 70.49 n/a SAC CHICAGO ANDREW 031 PETM SS 5,000 35.04 n/a LONG POND 029 SPF SS 190,000 6.75 n/a HARVEST MGMT (JMP) 029 TSCO SS 10,000 84.56 n/a NCM CAPITAL MGMT 035 TTEK S 50,325 25.65 n/a	PLATTE RIVER CAPITAL LISTED ERR 099 LUV B 25,995 9.61 n/a n/a S.A.C. CAPITAL 044 MAS SS 25,000 16.55 n/a n/a RIVERPARK CAPITAL 025 MNST S 18,289 51.80 n/a n/a BNP PARIBAS SEC 040 MOS SS 10,000 53.01 n/a n/a CSFB GLOBAL PROPRIETARY 041 MWV S 25,000 30.60 n/a 24-Oct BNP PARIBAS SEC 040 OLN B 20,000 20.94 n/a n/a PZENA INV ADV 044 OMC S 2,250 49.28 n/a n/a SAC CHICAGO ANDREW 031 ORLY SS 3,585 93.07 n/a n/a SAC CHICAGO ANDREW 031 PETM SS 15,000 70.49 n/a n/a SAC CHICAGO ANDREW 031 RCII SS 5,000 35.04 n/a n/a LONG POND 029 SPF SS 190,000 6.75 n/a n/a J. GOLDMAN 028 TEX B 40,000 24.21 n/a n/a NAM	PLATTE RIVER CAPITAL 240 LUV S 52,000 9.61 n/a n/a 2,080.00 LISTED ERR 099 LUV B 25,995 9.61 n/a n/a 0.00 S.A.C. CAPITAL 044 MAS SS 25,000 16.55 n/a n/a 875.00 RIVERPARK CAPITAL 025 MNST S 18,289 51.80 n/a n/a 914.45 ENP PARIBAS SEC 040 MOS SS 10,000 53.01 n/a n/a 300.00 CSFB GLOBAL PROPRIETARY 041 MWV S 25,000 30.60 n/a 24-Oet 1,250.00 ENP PARIBAS SEC 040 OLN B 20,000 20.94 n/a n/a 600.00 PZENA INV ADV 044 OMC S 2,250 49.28 n/a n/a n/a 78.76 SAC CHICAGO ANDREW 031 ORLY SS 3,585 93.07 n/a n/a 125.48 SAC CHICAGO ANDREW 031 RCII SS 5,000 35.04 n/a n/a 525.00 SAC CHICAGO ANDREW 031 RCII SS 5,000 35.04 n/a n/a 175.00 LONG POND 029 SPF SS 190,000 6.75 n/a n/a 175.00 J. COLDMAN 028 TEX B 40,000 24.21 n/a n/a 1,600.00 NEM CAPITAL MGMT (JMP) 029 TSCO SS 10,000 84.56 n/a n/a 400.00 NEM CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 NEM CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK S 50,325 25.65 n/a n/a n/a 2,013.00 SAC CAPITAL MGMT 035 TIEK D 50,000 N/A SAC CAPITAL MGMT 040 N/A

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINSIC/CHRIS C	041	UFS	S	24,800	78.28	n/a	n/a	868.00 3.5	
HARVEST MGMT (JMP)	029	URBN	S	15,000	36.26	n/a	n/a	600.00 4.0	
J. GOLDMAN	028	URI	S	20,000	42.19	n/a	17-Apr	800.00 4.0	
RATAN CAPITAL MGMT LP	041	VRX	В	10,000	55.65	n/a	n/a	300.00 3.0	
HARVEST MGMT (JMP)	029	WMT	В	10,000	71.64	n/a	15-Nov	400.00 4.0	
BRONSON POINT	036	WYN	В	25,000	49.99	n/a	n/a	750.00 0.0	
TYEE/TYGH	035	Z	S	93,154	27.21	n/a	n/a	3,726.16 0.0	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research Comm.	¢/Shr
AO,CRT	12/03	WESTFACE CAPTAL (WFACMS)	040	HP	SS	40,000	52.66	n/a	n/a 1200.00	3.0
O,CXL	12/03	WESTFACE CAPTAL (WFACGMF)	040	HP	SS	40,000	52.66	n/a	n/a 1200.00	3.0
O,CRT	12/03	WESTFACE CAPTAL (WFACMS)	040	OIH	SS	100,000	38.77	n/a	n/a 3000.00	3.0
O,CXL	12/03	WESTFACE CAPTAL (WFACGMF)	040	OIH	SS	100,000	38.77	n/a	n/a 3000.00	3.0
O,CRT	12/03	WESTFACE CAPTAL (WFACMS)	040	PDS	В	200,000	7.48	n/a	n/a 6000.00	3.0
O,CXL	12/03	WESTFACE CAPTAL (WFACGMF)	040	PDS	В	200,000	7.48	n/a	n/a 6000.00	3.0
.0,	12/03	PENNANT CAP MGMT (PENAJPMORG)	029	PFE	S	400,000	25.22	n/a	n/a 12000.00	0.0
O,CXL	12/03	PENNANT CAP MGMT (PENAMSPB)	029	PFE	S	400,000	25.22	n/a	n/a 12000.00	0.0
O,CRT	12/03	WESTFACE CAPTAL (WFACMS)	040	PTEN	SS	115,000	17.70	n/a	n/a 3450.00	3.0
O,CXL	12/03	WESTFACE CAPTAL (WFACGMF)	040	PTEN	SS	115,000	17.70	n/a	n/a 3450.00	3.0
O,CXL	12/03	IMPALA ASSET MMT (IMPAUBS)	040	WY	В	799 , 858	27.64	n/a	30-Nov 31994.32	4.0
O,CRT	12/03	IMPALA ASSET MMT (IMPABS)	040	WY	В	799 , 858	27.64	n/a	30-Nov 31994.32	4.0

TOTAL (Trade Date):	71,695.40
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS: 71,695.40

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