



## Daily Compliance Activity Report

Trade Date: 11/05/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BRONSON POINT	036	AAWW	C	10,000	44.44	n/a	n/a	300.00 0.0
PARAMETER CAPITAL MGMT LLC044		ACE	B	20,000	77.90	n/a	n/a	800.00 4.0
CAMBIAR CAP	046	ADM	S	330,000	26.61	n/a	31-Oct	13,200.00 0.0
ROYCE TRADING	031	AEO	B	3,000	20.77	n/a	2-Dec	150.00 0.0
COLUMBUS CIRCLE	036	ALGN	S	2,700	25.94	n/a	n/a	108.00 0.0
PARAMETER CAPITAL MGMT LLC044		ALL	B	20,000	38.70	n/a	n/a	800.00 4.0
NEW JERSEY DIV OF INV.	030	BBBY	B	20,000	57.55	n/a	n/a	600.00 3.0
ADAGE CAPITAL MGMT	030	BKE	B	40,000	47.04	n/a	n/a	1,200.00 3.0
LOMAS CAPITAL	040	CCL	B	65,000	38.56	n/a	n/a	1,950.00 3.0
COLUMBUS CIRCLE	036	CREE	B	3,000	30.97	n/a	n/a	120.00 0.0
DAVIDSON KEMPNER ADVISOR	040	CVI	B	1,900	35.35	n/a	n/a	57.00 0.0
SCOPUS FUND	041	DG	S	50,000	47.58	n/a	5-Sep	2,000.00 4.0
SAC CHICAGO ANDREW	031	DLTR	B	27,116	38.94	n/a	12-Oct	949.06 3.5
BTG PACTUAL	040	DPZ	B	5,000	41.15	n/a	17-Oct	150.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	EPD	S	250	53.00	n/a	n/a	10.00	4.0
ROYCE TRADING	031	FINL	B	1,000	20.91	n/a	28-Sep	50.00	0.0
SAC CHICAGO ANDREW	031	FL	B	26,100	33.94	n/a	29-Aug	913.50	3.5
PATRIOT STRATEGY PARTNERS	036	GM	B	20,000	25.69	n/a	2-Nov	800.00	4.0
PATTEN & PATTEN	025	INTC	B	750	21.96	n/a	n/a	37.50	5.0
SIGMA CAPITAL ASSOCIATES	041	JNY	B	50,000	11.85	n/a	25-Oct	1,750.00	3.5
CAERUS GLOBAL	041	KSS	B	50,000	54.73	n/a	5-Nov	2,000.00	4.0
SAC CHICAGO ANDREW	031	KSS	B	10,206	54.45	n/a	5-Nov	357.21	3.5
COOPER CREEK PART	028	LPX	B	30,956	16.01	n/a	15-Oct	1,238.24	4.0
SURVEYOR CAPITAL	251	MGM	SS	304,981	10.07	n/a	13-Jun	9,149.43	0.0
COLUMBUS CIRCLE	036	MLNX	B	1,200	80.61	n/a	n/a	48.00	0.0
SURVEYOR CAPITAL	251	M	B	129,846	41.06	n/a	5-Nov	3,895.38	0.0
PATTEN & PATTEN	025	NSC	B	275	61.68	n/a	n/a	13.75	5.0
BESSEMER INVESTMENT	085	PSX	S	479	46.77	n/a	n/a	19.16	4.0
TALPION LLC	040	RAX	SS	4,000	66.00	n/a	n/a	160.00	0.0
COLUMBUS CIRCLE	036	SIRO	B	1,200	58.49	n/a	n/a	48.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARKWEST	084	SLCA	S	100,000	14.47	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	STI	B	15,000	26.78	n/a	n/a	750.00	5.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	17.70	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	TMO	B	12,500	61.88	n/a	n/a	625.00	0.0
COLUMBUS CIRCLE	036	WAC	S	12,200	41.90	n/a	n/a	488.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WMT	SS	80,000	72.92	n/a	11-Oct	2,400.00	3.0
M&I FUNDS	047	WRC	S	20,942	71.04	n/a	1-Nov	837.68	4.0
<b>TOTAL (Trade Date) :</b>								<b>51,374.91</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/01	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	10.69	n/a	2-Nov	5000.00 5.0
AO,CRT	11/01	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	10.69	n/a	2-Nov	4000.00 4.0
AO,CRT	11/01	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BAC	S	13,900	9.60	n/a	5-Nov	417.00 3.0
AO,CXL	11/01	SANDLER O'NEILL ASSET (SANOMSIL)	031	BAC	S	3,600	9.60	n/a	5-Nov	180.00 5.0
AO,CRT	11/01	SANDLER O'NEILL ASSET (SANOMSIL)	031	BAC	S	3,600	9.60	n/a	5-Nov	108.00 3.0
AO,CXL	11/01	SANDLER O'NEILL ASSET (SANOJPMBS)	031	BAC	S	13,900	9.60	n/a	5-Nov	695.00 5.0
AO,	11/02	IRIDIAN ASSET MGMT. (IRAM112)	036	THRX	B	1,980	21.16	n/a	n/a	99.00 0.0
AO,	11/02	IRIDIAN ASSET MGMT. (IRAM53)	036	THRX	B	1,070	21.16	n/a	n/a	53.50 0.0
AO,	11/02	IRIDIAN ASSET MGMT. (IRAM26)	036	THRX	B	1,650	21.16	n/a	n/a	82.50 0.0
AO,	11/02	IRIDIAN ASSET MGMT. (IRAM192)	036	THRX	B	2,680	21.16	n/a	n/a	134.00 0.0

**TOTAL (AO, CXL, CRT) :****-981.00**

TOTAL (Trade Date):

51,374.91

TOTAL (AO, CXL, CRT):

-981.00

**TOTAL (RUN DATE) / NFS:****50,393.91**

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