



Daily Compliance Activity Report

Trade Date: 09/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BAIRD INVESTMENT	047	AGN	S	4,550	89.24	n/a	12-Sep	227.50	0.0	
ELM RIDGE ADVISORS	044	AMAT	B	87,100	11.83	n/a	n/a	3,484.00	0.0	
KAM ADVISORS LLC	041	BEAV	B	53,200	41.08	n/a	12-Sep	1,596.00	0.0	
DC CAPITAL	044	BTU	S	25,000	23.72	n/a	n/a	1,000.00	4.0	
SMITH MGMT/ALDEN GLOBAL		029	BZH	S	250,000	3.25	n/a	n/a	7,500.00	3.0
TROUBH PART	070	C	B	5,000	34.32	n/a	11-Sep	250.00	5.0	
CENTURION PARTNERS	041	DD	B	20,000	50.77	n/a	7-Sep	800.00	4.0	
PZENA INV ADV	044	DELL	S	3,650	10.62	n/a	n/a	127.75	0.0	
GEORGE WEISS	034	EXPE	B	50,000	55.65	n/a	n/a	1,500.00	0.0	
SUN AMERICA ASSET MGMT	030	EXPR	B	14,000	15.98	n/a	n/a	560.00	0.0	
CYRUS CAPITAL	025	FBP	S	50,000	4.28	n/a	n/a	1,500.00	3.0	
BTG PACTUAL	040	FINL	B	10,000	23.70	n/a	22-Aug	300.00	0.0	
JET CAPITAL/CHRIS	041	GEO	B	466	27.74	n/a	n/a	13.98	0.0	
Michael Ehrlich		GFIG	S	1000	3.1300	n/a	n/a	0.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	GM	B	25,000	23.66		n/a 7-Sep	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	GPC	SS	6,500	62.23	n/a	n/a	195.00	0.0
CAPITAL RESEARCH GROUP		296	HD	S	177,000	57.09	n/a 14-Aug	6,195.00	0.0
CENTURION PARTNERS	041	HES	S	15,000	55.76	n/a	n/a	600.00	4.0
LATEEF MGMT	035	HON	S	1,500	59.78	n/a	12-Sep	150.00	10.0
CYRUS CAPITAL	025	IWM	B	33,250	85.82	n/a	n/a	997.50	3.0
SCOUT/UMB	047	JCP	B	56,181	28.77	n/a	13-Aug	1,685.43	0.0
CAISSE DEPOT PLACEMENT Q	295	JIVE	B	20,200	14.50	n/a	n/a	606.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035		JLL	B	10,331	79.35	n/a	n/a	309.93 0.0
TROUBH PART	070	JPM	B	10,000	41.09	n/a	6-Sep	500.00	5.0
SUFFOLK CAPITAL MGMT	040	LCC	B	67,600	11.48	n/a	n/a	2,028.00	0.0
CENTURION PARTNERS	041	LNC	B	10,000	25.15	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	MRGE	S	7,768	3.73		n/a n/a	155.36	2.0
BAIRD INVESTMENT	047	MSFT	B	9,650	31.07	n/a	n/a	482.50	0.0
Õ Nilsa Vazquez		NLY	S	1000	17.6010	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	NVDA	S	10,000	13.72	n/a	n/a	400.00	4.0
CAPITAL RESEARCH GROUP		296	PCP	B	10,000	157.94	n/a 1-Aug	350.00	0.0
ASCEND PARTNERS	033	PVH	B	11,200	92.36	n/a	29-Aug	336.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	15,000	92.46	n/a	29-Aug	450.00	3.0
CYRUS CAPITAL	025	RLD	S	25,000	10.00	n/a	n/a	750.00	3.0
FINDLAY PARK PART	085	STT	B	304,000	43.77	n/a	11-Sep	19,961.27	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.15	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	TDC	B	8,500	75.06	n/a	n/a	255.00	3.0
IRIDIAN ASSET MGMT.	036	TYC	B	16,420	55.24	n/a	3-Aug	821.00	0.0
STANDARD PACIFIC CAPITAL	084	VALE	SS	130,000	18.94	n/a	n/a	6,500.00	5.0
JET CAPITAL/CHRIS	041	WCRX	S	29,341	12.86	n/a	12-Sep	880.23	0.0
ASCEND PARTNERS	033	WRC	B	19,827	53.21	n/a	7-Aug	991.35	0.0
BALYASNY ASSET MGMT	044	WRC	B	20,000	53.51	n/a	7-Aug	1,000.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035		Z	B	38,022	43.20	n/a	n/a	1,140.66 0.0
TOTAL (Trade Date):							68,549.46		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/12	IRIDIAN ASSET MGMT. (IRAM0022)	036	GLW	S	8,410	12.80	n/a	13-Sep	420.50 0.0
AO,CXL	09/12	IRIDIAN ASSET MGMT. (IRAM198)	036	GLW	S	3,930	12.80	n/a	13-Sep	196.50 0.0
AO,	09/12	IRIDIAN ASSET MGMT. (IRAM198)	036	GLW	S	3,930	12.80	n/a	13-Sep	196.50 0.0
AO,CXL	09/12	IRIDIAN ASSET MGMT. (IRAM22)	036	GLW	S	8,410	12.80	n/a	13-Sep	420.50 0.0
CRT	09/13	FINDLAY PARK PART (FINDAMERS)	085	STT	B	300,000	43.77	n/a	11-Sep	19698.62 0.0

TOTAL (AO, CXL, CRT) :**19,698.62**

TOTAL (Trade Date) :

68,549.46

TOTAL (AO, CXL, CRT) :

19,698.62

TOTAL (RUN DATE) / NFS:**88,248.08**

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