



Daily Compliance Activity Report

Trade Date: 10/12/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AIG	S	25,000	35.35	n/a	n/a	750.00	0.0
NWQ INVESTMENT MGMT CO	084	AUQ	B	900	7.14	n/a	n/a	27.00	0.0
GEORGE WEISS	034	AXL	B	15,000	11.64	n/a	3-Oct	600.00	0.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	6.63	n/a	n/a	1,500.00	0.0
BRONSON POINT	036	CCE	B	25,000	31.48	n/a	n/a	750.00	0.0
CASTLEROCK	040	COF	B	23,697	58.75	n/a	12-Oct	947.88	4.0
NWQ INVESTMENT MGMT CO	084	COHR	B	2,100	45.02	n/a	n/a	63.00	0.0
BNP PARIBAS SEC	040	CTRP	B	25,000	18.42	n/a	n/a	750.00	3.0
S.A.C. CAP/ORENSTEIN	044	DOV	B	34,200	55.30	n/a	n/a	1,197.00	3.5
GALT INVESTMENT	041	EAT	B	30,000	33.15	n/a	4-Oct	1,500.00	5.0
NWQ INVESTMENT MGMT CO	084	FEIC	B	1,600	51.24	n/a	n/a	48.00	0.0
ROYCE TRADING	031	FINL	B	24,400	21.09	n/a	28-Sep	1,220.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	B	3,900	16.67	n/a	5-Oct	136.50	0.0
COBALT	041	GES	B	49,200	24.99	n/a	23-Aug	1,968.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	GES	B	40,621	24.90	n/a	23-Aug	1,218.63	3.0
NWQ INVESTMENT MGMT CO	084	GFF	B	900	9.96	n/a	n/a	27.00	0.0
ASCEND PARTNERS	033	GIL	B	28,203	32.04	n/a	24-Sep	846.09	0.0
TIDE POINT CAPITAL	034	GPI	B	4,700	62.02	n/a	3-Oct	141.00	0.0
NOKOMIS PARTNERS	031	GSM	SS	40,000	15.39	n/a	n/a	1,200.00	3.0
BALYASNY ASSET MGMT	044	GT	B	25,000	12.29	n/a	n/a	1,250.00	0.0
COBALT	041	HP	B	15,920	48.81	n/a	n/a	636.80	4.0
NWQ INVESTMENT MGMT CO	084	HRL	B	2,900	28.97	n/a	n/a	101.50	0.0
WATERFRONT CAP	028	ICON	B	16,400	18.43	n/a	n/a	656.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	37.16	n/a	11-Oct	1,250.00	5.0
EATON VANCE MGMT	029	JNJ	S	5,000	68.48	n/a	n/a	150.00	0.0
CAERUS GLOBAL	041	KSS	B	50,000	51.50	n/a	5-Oct	2,000.00	4.0
HARVEST MGMT (JMP)	029	KSS	B	20,000	51.48	n/a	5-Oct	800.00	4.0
NEUBERGER BERMAN	036	MAC	S	33,000	58.73	n/a	n/a	1,320.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MAR	SS	25,000	38.43	n/a	13-Jun	875.00	3.5
EATON VANCE MGMT	029	MPC	S	25,000	53.68	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	M	B	70,700	39.18	n/a	5-Oct	2,121.00	3.0
CRAMER ROSENTHAL	070	OC	B	94,970	29.83	n/a	n/a	3,798.80	0.0
COBALT	041	OXY	S	77,500	82.67	n/a	n/a	3,100.00	4.0
WATERFRONT CAP	028	PENN	S	24,000	41.06	n/a	n/a	960.00	0.0
BRONSON POINT	036	PHM	C	25,000	15.65	n/a	n/a	750.00	0.0
EATON VANCE MGMT	029	PSX	S	25,000	43.70	n/a	n/a	750.00	0.0
ROTHSCHILD ASSET	040	PTEN	S	97,342	17.06	n/a	n/a	3,893.68	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ROST	B	25,000	61.94	n/a	5-Oct	750.00	3.0
SENATOR INVESTMENT GROUP	036	SBAC	B	18,500	65.00	n/a	n/a	555.00	0.0
ROTHSCHILD ASSET	040	STE	B	33,840	35.05	n/a	n/a	1,353.60	0.0
SENATOR INVESTMENT GROUP	036	STZ	S	67,428	35.01	n/a	n/a	2,022.84	0.0
NWQ INVESTMENT MGMT CO	084	TCBI	B	7,400	47.27	n/a	n/a	222.00	0.0
J. GOLDMAN	028	TGT	B	50,000	61.87	n/a	4-Oct	2,000.00	4.0
GALT INVESTMENT	041	TJX	B	25,000	42.84	n/a	5-Oct	1,250.00	5.0
LOMAS CAPITAL	040	UPS	S	10,820	72.01	n/a	n/a	324.60	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	URBN	B	17,325	36.65	n/a	n/a	693.00	0.0
NWQ INVESTMENT MGMT CO	084	VRTX	B	2,000	53.80	n/a	n/a	60.00	0.0
ADAGE CAPITAL MGMT	030	WBC	B	50,600	56.59	n/a	29-Aug	1,518.00	3.0
NWQ INVESTMENT MGMT CO	084	WCC	B	3,100	56.13	n/a	n/a	108.50	0.0
BNP PARIBAS SEC	040	WY	S	20,000	26.35	n/a	5-Oct	600.00	3.0
TOTAL (Trade Date):								51,510.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/11	TUDOR INVESTORS (TUDRJMPMB)	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00 3.0
AO,CRT	10/11	TUDOR INVESTORS (TUDRMAIN)	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	51,510.42
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	51,510.42
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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