



Daily Compliance Activity Report

Trade Date: 11/01/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT)	251	AIG	B	10,000	35.13		n/a	n/a	200.00 2.0
LATEEF MGMT	035	ATI	S	750	27.52	n/a	18-Oct	75.00	10.0
CATAPULT CAP/DEFRANCO	040	ATK	S	11,872	59.73	n/a	n/a	474.88	0.0
ASCEND PARTNERS	033	AVP	C	16,720	15.67	n/a	22-Oct	501.60	0.0
MILLENNIUM-NEW VERNON	031	AXL	B	30,000	10.95	n/a	1-Nov	1,800.00	0.0
WOOSTER CAPITAL	035	AXL	B	100,000	10.69	n/a	1-Nov	5,000.00	5.0
BASSWOOD PARTNERS	267	AXP	C	6,184	56.26	n/a	26-Oct	247.36	0.0
BASSWOOD PARTNERS	267	BAC	S	99,512	9.32	n/a	18-Oct	3,980.48	0.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	9.60	n/a	18-Oct	1,850.00	4.3
MACELLUM CAPITAL	086	BBY	B	73,530	15.16	n/a	n/a	2,205.90	3.0
J. GOLDMAN	028	BKW	SS	15,000	15.18	n/a	n/a	600.00	4.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	5.71	n/a	n/a	1,500.00	0.0
BASSWOOD PARTNERS	267	CMI	B	2,800	98.38	n/a	n/a	112.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	COH	SS	37,000	56.96	n/a	24-Oct	1,110.00	3.0
J. GOLDMAN	028	EAT	S	15,000	31.18	n/a	25-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEDGE CAPITAL	093	ELS	B	15,295	67.54	n/a	n/a	611.80	0.0
ADAGE CAPITAL MGMT	030	ETN	B	64,803	48.65	n/a	31-Oct	1,944.09	0.0
CAMBIAR CAP	046	ETN	S	99,635	48.65	n/a	31-Oct	3,985.40	0.0
LATEEF MGMT	035	FMER	B	500	14.10	n/a	n/a	50.00	10.0
LATEEF MGMT	035	GLW	B	500	11.88	n/a	24-Oct	50.00	10.0
BRONSON POINT	036	GM	B	25,000	25.60	n/a	1-Nov	750.00	0.0
CAPITAL GROWTH MGMT.	241	GM	S	200,000	25.27	n/a	1-Nov	10,000.00	5.0
CATAPULT CAP/DEFRANCO	040	GM	B	11,688	25.35	n/a	1-Nov	467.52	0.0
CATAPULT CAP/DEFRANCO	040	GM	SS	11,688	25.30	n/a	1-Nov	467.52	0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	10,000	25.50	n/a	1-Nov	400.00	4.0
TIDE POINT CAPITAL	034	GM	B	10,000	25.51	n/a	1-Nov	300.00	0.0
TRELLUS PARTNERS LP	028	GM	S	30,000	25.78	n/a	1-Nov	900.00	0.0
TIDE POINT CAPITAL	034	GPI	S	7,000	63.96	n/a	31-Oct	210.00	0.0
RIDGECREST INV MGMT LLC	028	HSC	B	15,000	21.14	n/a	31-Jul	600.00	4.0
KENNEDY CAPITAL	046	ICON	S	45,429	19.29	n/a	n/a	1,817.16	0.0
ROSEDALE CAPITAL	046	INTC	S	20,000	22.22	n/a	n/a	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IPXL	S	150,000	21.04	n/a	31-Oct	4,500.00	0.0
BALYASNY ASSET MGMT	044	IP	B	25,000	36.93	n/a	25-Oct	1,250.00	0.0
LATEEF MGMT	035	JCI	S	1,000	26.09	n/a	31-Oct	90.00	9.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	57.32	n/a	26-Oct	875.00	3.5
BASSWOOD PARTNERS	267	KEY	S	99,476	8.41	n/a	n/a	3,979.04	0.0
J. GOLDMAN	028	KSS	S	34,829	54.96	n/a	26-Oct	1,393.16	4.0
CASTLEROCK	040	LL	B	6,101	57.02	n/a	n/a	244.04	4.0
COLUMBUS CIRCLE	036	MAS	B	5,999	15.98	n/a	n/a	239.96	0.0
CASTLEROCK	040	NFLX	SS	8,901	78.07	n/a	n/a	356.04	4.0
BALYASNY ASSET MGMT	044	PKG	B	50,000	36.46	n/a	16-Oct	2,500.00	0.0
BRIGADE CAPITAL MGMT	029	PPC	S	25,000	5.75	n/a	n/a	750.00	0.0
SCOPUS FUND	041	PVH	B	15,000	114.41	n/a	1-Nov	600.00	0.0
PECONIC PARTNERS	036	PX	C	50,000	108.27	n/a	24-Oct	2,500.00	0.0
BALYASNY ASSET MGMT	044	RKT	SS	10,000	73.77	n/a	15-Oct	500.00	0.0
COOPER CREEK PART	028	RKT	S	7,500	74.13	n/a	15-Oct	300.00	4.0
J. GOLDMAN	028	SBUX	S	10,000	46.13	n/a	31-Oct	400.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	S	55,000	46.19	n/a	31-Oct	1,650.00	3.0
ASCEND PARTNERS	033	TGT	B	48,900	63.16	n/a	1-Nov	1,467.00	0.0
OZ MGMT	040	TGT	B	50,000	63.62	n/a	1-Nov	1,500.00	0.0
IRIDIAN ASSET MGMT.	036	THRX	B	17,600	22.46	n/a	n/a	880.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEDGE CAPITAL	093	VLV	S	16,294	9.82	n/a	n/a	651.76	0.0
LOMAS CAPITAL	040	VRSN	B	21,200	37.46	n/a	n/a	636.00	3.0
TRUSTCO/SUNTRUST (CEREDEX)	273	WIN	B	57,344	9.58	n/a	n/a	1,835.01	0.0
LOMAS CAPITAL	040	WM	SS	15,000	32.83	n/a	n/a	450.00	3.0
NEWLAND CAPITAL MGT	025	WNC	S	10,000	7.70	n/a	n/a	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	XRT	B	35,000	62.98	n/a	n/a	1,050.00	0.0
TOTAL (Trade Date) :								74,707.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/01	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	10.69	n/a	1-Nov	5000.00 5.0
AO,CXL	10/26	ROYCE TRADING (ROYC67)	031	FINL	B	12,069	20.49	n/a	28-Sep	603.45 0.0
AO,	10/26	ROYCE TRADING (ROYC67)	031	FINL	B	5,769	20.49	n/a	28-Sep	288.45 0.0
AO,	10/26	ROYCE TRADING (ROYC180)	031	FINL	B	900	20.49	n/a	28-Sep	45.00 0.0
AO,	10/26	ROYCE TRADING (ROYC180)	031	FINL	B	5,400	20.49	n/a	28-Sep	270.00 0.0
CRT	11/01	ROSEDALE CAPITAL (ROSEJPM)	046	INTC	S	20,000	22.22	n/a	n/a	1000.00 5.0

TOTAL (AO, CXL, CRT) :	6,000.00
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TOTAL (Trade Date) :	74,707.72
TOTAL (AO, CXL, CRT) :	6,000.00

TOTAL (RUN DATE) / NFS :	80,707.72
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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