



Daily Compliance Activity Report

Trade Date: 11/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	100,000	19.64	n/a	2-Dec	3,000.00	3.0
BALYASNY ASSET MGMT	044	AEO	S	30,000	19.45	n/a	2-Dec	1,500.00	0.0
DECADE CAPITAL CHRIS C	041	ALGT	S	6,625	70.60	n/a	n/a	265.00	0.0
DECADE CAPITAL CHRIS C	041	ALK	SS	7,315	41.03	n/a	n/a	292.60	0.0
YORK CAPITAL	036	AMD	S	500,000	1.96	n/a	n/a	7,500.01	0.8
MACELLUM CAPITAL	086	ARO	B	54,000	13.52	n/a	n/a	1,620.00	0.0
WOOSTER CAPITAL	035	AXL	B	15,000	9.94	n/a	2-Nov	450.00	3.0
SAGE ASSET MGMT	025	BZ	B	199,100	7.96	n/a	n/a	9,955.00	5.0
BAIRD INVESTMENT	047	CAT	S	4,800	82.64	n/a	11-Jul	240.00	0.0
EGS ASSOCIATES LP	091	COH	B	6,500	53.55	n/a	5-Nov	325.00	5.0
SCOPUS FUND	041	COH	SS	30,000	53.51	n/a	5-Nov	1,200.00	0.0
DAVIDSON KEMPNER ADVISOR	040	CVI	B	2,421	38.60	n/a	n/a	72.63	0.0
BTG PACTUAL	040	DAL	B	5,000	9.52	n/a	12-Nov	150.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DE	S	5,000	84.60	n/a	11-Jul	200.00	4.0
ADAGE CAPITAL MGMT	030	EXPR	B	365,000	10.76	n/a	n/a	10,950.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	FFIV	SS	15,000	87.25	n/a	25-Oct	450.00	3.0
OZ MGMT	040	FFIV	SS	25,000	90.00	n/a	25-Oct	750.00	0.0
FIRST NY SEC/CHRIS	041	F	B	10,000	10.85	n/a	2-Nov	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	S	185,000	10.66	n/a	2-Nov	5,550.00	3.0
OZ MGMT	040	GM	B	50,000	24.15	n/a	2-Nov	1,500.00	0.0
TRELLUS PARTNERS LP	028	GM	B	21,000	24.61	n/a	2-Nov	630.00	0.0
SCOPUS FUND	041	IP	S	39,700	33.66	n/a	25-Oct	1,588.00	0.0
ROSEDALE CAPITAL	046	KEG	B	50,000	5.90	n/a	11-Oct	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	LEA	B	50,000	40.68	n/a	31-Oct	1,500.00	3.0
WOOSTER CAPITAL	035	LEA	S	25,000	40.40	n/a	31-Oct	1,250.00	5.0
PATTEN & PATTEN	025	MIC	B	2,600	41.25	n/a	n/a	130.00	5.0
CATAPULT	040	MLM	S	8,500	85.34	n/a	n/a	340.00	0.0
PATTEN & PATTEN	025	MMM	B	1,200	87.58	n/a	6-Nov	60.00	5.0
SAC CHICAGO ANDREW	031	M	B	10,000	39.21	n/a	8-Nov	350.00	3.5
PATTEN & PATTEN	025	NEE	B	1,600	66.70	n/a	n/a	80.00	5.0
CASTLEROCK	040	NTAP	SS	15,000	27.29	n/a	n/a	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PH	B	2,500	78.01	n/a	n/a	100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	PLCE	B	7,500	57.78	n/a	12-Nov	300.00	0.0
METROPOLITAN CAPITAL	044	PLCE	B	3,700	56.59	n/a	12-Nov	185.00	5.0
ASCEND PARTNERS	033	PVH	B	25,000	107.31	n/a	1-Nov	750.00	0.0
BAIRD INVESTMENT	047	SBUX	B	4,375	49.74	n/a	2-Nov	218.75	0.0
LIONEYE CAPITAL	040	SPLS	S	90,000	11.47	n/a	n/a	4,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	7,240	138.09	n/a	n/a	217.20	0.0
COOKBIELER	028	STC	S	5,923	24.71	n/a	n/a	236.92	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	B	20,000	33.96	n/a	n/a	600.00	0.0
SAC CHICAGO ANDREW	031	TJX	B	25,000	42.14	n/a	14-Nov	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	TJX	SS	50,000	41.99	n/a	14-Nov	1,750.00	3.5
PATTEN & PATTEN	025	TRN	B	3,600	29.45	n/a	n/a	180.00	5.0
NEW JERSEY DIV OF INV.	030	TRW	S	20,000	47.36	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	URBN	S	20,000	36.73	n/a	n/a	1,000.00	0.0
CASTLEROCK	040	URBN	B	18,858	36.56	n/a	n/a	754.32	4.0
CATAPULT	040	UTX	S	14,300	75.70	n/a	n/a	572.00	0.0
PATTEN & PATTEN	025	UTX	B	1,400	74.88	n/a	n/a	70.00	5.0
SCOPUS FUND	041	VC	B	50,000	49.31	n/a	n/a	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	VFC	SS	400	154.41	n/a	23-Oct	16.00	0.0
KLEINHEINZ CAP PART	031	WFM	B	20,000	90.25	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	WHR	B	5,000	98.11	n/a	n/a	200.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	SS	11,200	73.52	n/a	n/a	448.00	0.0
DECADE CAPITAL CHRIS C	041	WLK	S	6,792	76.10	n/a	n/a	271.68	0.0
NOMURA/ANGEL LANE PRINCIPAL040		WMT	B	25,000	71.54	n/a	12-Nov	750.00	3.0
MACELLUM CAPITAL	086	WWW	SS	27,900	40.49	n/a	n/a	837.00	0.0
HAMILTON CAP PART FIN	031	XLF	SS	100,000	15.34	n/a	n/a	2,000.00	2.0
FIRST NY SEC/CHRIS	041	YHOO	B	10,000	17.97	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								75,630.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/13	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ATVI	B	5,000	10.68	n/a	n/a	150.00 3.0
AO,CRT	11/13	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		ATVI	B	5,000	10.68	n/a	n/a	100.00 2.0
AO,CXL	11/13	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	10,000	9.90	n/a	2-Nov	500.00 5.0
AO,CRT	11/13	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	10,000	9.90	n/a	2-Nov	300.00 3.0
AO,CXL	11/01	COLUMBUS CIRCLE (COLC4900)	036	NWL	B	6,200	21.16	n/a	n/a	4.00 0.0
AO,	11/01	COLUMBUS CIRCLE (COLC4900)	036	NWL	B	6,200	21.16	n/a	n/a	248.00 0.0

TOTAL (AO, CXL, CRT) :**-6.00**

TOTAL (Trade Date) :**75,630.11****TOTAL (AO, CXL, CRT) :****-6.00**

TOTAL (RUN DATE) / NFS:**75,624.11**

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