



## Daily Compliance Activity Report

Trade Date: 11/15/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	AEO	B	10,000	18.90	n/a	2-Dec	400.00	4.0
PATTEN & PATTEN	025	AGCO	S	750	43.15	n/a	n/a	37.50	5.0
KLEINHEINZ CAP PART	031	ANW	S	50,000	5.06	n/a	n/a	2,500.00	0.0
<b>STRONG/WELLS CAP ANN F</b>	<b>098</b>	<b>ANW</b>	<b>B</b>	<b>47,792</b>	<b>5.06</b>	<b>n/a</b>	<b>n/a</b>	<b>1,433.76</b>	<b>0.0</b>
PATTEN & PATTEN	025	APA	B	250	76.00	n/a	15-Nov	12.50	5.0
LATEEF MGMT	035	ATI	S	750	26.37	n/a	14-Nov	75.00	10.0
LATEEF MGMT	035	BBT	B	250	27.51	n/a	n/a	30.00	12.0
APEX CAPITAL MGMT.	261	BECN	SS	21,400	29.92	n/a	n/a	856.00	0.0
IRIDIAN ASSET MGMT.	036	BLL	S	11,730	43.31	n/a	n/a	586.50	0.0
PATTEN & PATTEN	025	CBT	B	3,000	35.74	n/a	31-Oct	150.00	5.0
APEX CAPITAL MGMT.	261	CI	S	14,500	50.32	n/a	n/a	580.00	0.0
PATTEN & PATTEN	025	CSCO	B	2,000	18.01	n/a	14-Nov	100.00	5.0
LATEEF MGMT	035	CTB	S	600	23.21	n/a	n/a	60.00	10.0
BESSEMER INVESTMENT	085	C	S	400,000	35.47	n/a	15-Nov	16,000.00	0.0
HOLLIS CAPITAL	033	C	B	10,000	35.32	n/a	15-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	DLTR	S	47,490	39.00	n/a	15-Nov	1,424.70	0.0
KINGDON ASSET MGMT	041	EMC	S	55,000	23.63	n/a	n/a	2,200.00	0.0
APEX CAPITAL MGMT.	261	EXP	SS	13,100	50.88	n/a	n/a	524.00	0.0
CATAPULT	040	EXP	S	9,992	50.83	n/a	n/a	399.68	0.0
OZ MGMT	040	FFIV	C	25,000	87.24	n/a	25-Oct	750.00	0.0
METROPOLITAN CAPITAL	044	FINL	B	9,300	19.93	n/a	28-Sep	465.00	0.0
ROARING BLUE LION MGMT	031	FL	B	8,900	31.57	n/a	13-Nov	356.00	4.0
LATEEF MGMT	035	FMER	B	250	13.06	n/a	n/a	25.00	10.0
ADAGE CAPITAL MGMT	030	FNP	B	100,000	11.13	n/a	n/a	3,000.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	S	300,000	10.62	n/a	15-Nov	9,000.00	3.0
OZ MGMT	040	F	C	75,000	10.63	n/a	15-Nov	2,250.00	0.0
PATTEN & PATTEN	025	GIS	B	2,800	39.94	n/a	n/a	140.00	5.0
BRONSON POINT	036	GM	B	25,000	23.95	n/a	15-Nov	750.00	0.0
CAERUS GLOBAL	041	GM	B	45,000	23.81	n/a	15-Nov	1,800.00	4.0
OZ MGMT	040	GM	S	300,000	23.96	n/a	15-Nov	9,000.00	0.0
APEX CAPITAL MGMT.	261	HLF	B	21,100	45.75	n/a	n/a	844.00	0.0
LATEEF MGMT	035	HPQ	S	1,000	13.06	n/a	n/a	70.00	7.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	IFF	B	33,861	62.10	n/a	6-Nov	1,354.44	0.0
LATEEF MGMT	035	INTC	B	1,000	20.17	n/a	n/a	105.00	11.0
BRONSON POINT	036	IP	B	25,000	33.67	n/a	25-Oct	750.00	0.0
LATEEF MGMT	035	JCI	B	150	25.07	n/a	31-Oct	27.00	18.0
TROUBH PART	070	JPM	B	25,000	39.44	n/a	15-Nov	1,250.00	5.0
ROSEDALE CAPITAL	046	KEG	B	20,000	6.03	n/a	15-Nov	600.00	3.0
PATTEN & PATTEN	025	KMP	B	3,400	76.40	n/a	n/a	170.00	5.0
KINGDON ASSET MGMT	041	LRCX	S	65,000	34.73	n/a	n/a	2,600.00	0.0
COOKBIELER	028	MCD	B	86,526	83.99	n/a	8-Nov	3,461.04	0.0
PATTEN & PATTEN	025	MCD	S	400	84.07	n/a	8-Nov	20.00	5.0
TOCQUEVILLE	035	MCP	B	50,000	6.09	n/a	n/a	2,000.00	0.0
CATAPULT	040	MLM	SS	6,898	82.57	n/a	n/a	275.92	0.0
LATEEF MGMT	035	MMM	B	750	87.48	n/a	15-Nov	75.00	10.0
HIGHBRIDGE CAP	041	MON	B	12,000	84.75	n/a	8-Oct	360.00	3.0
LATEEF MGMT	035	MSFT	B	500	26.79	n/a	n/a	50.00	10.0
MASTERS CAPITAL MANAGE	025	MTU	B	100,000	4.38	n/a	n/a	2,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	NOG	C	21,400	13.97	n/a	n/a	856.00	0.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.73	n/a	n/a	800.00	4.0
LATEEF MGMT	035	NYCB	S	550	12.46	n/a	n/a	55.00	10.0
APEX CAPITAL MGMT.	261	OTEX	SS	14,000	52.48	n/a	n/a	560.00	0.0
ADAGE CAPITAL MGMT	030	PETM	S	75,000	67.79	n/a	n/a	2,250.00	3.0
LATEEF MGMT	035	PG	B	100	66.16	n/a	13-Nov	28.00	28.0
CR INTRINIC INVESTMENT	044	PKG	B	30,000	34.88	n/a	16-Oct	1,050.00	3.5
METROPOLITAN CAPITAL	044	PLCE	B	6,600	49.58	n/a	15-Nov	330.00	0.0
SCOPUS FUND	041	PWR	S	20,000	24.86	n/a	n/a	800.00	4.0
PATTEN & PATTEN	025	RKT	B	1,800	62.17	n/a	5-Nov	90.00	5.0
OSKIE CAPITAL MGMT	224	ROST	B	15,000	52.75	n/a	5-Nov	750.00	5.0
SCOPUS FUND	041	ROST	B	25,000	54.50	n/a	5-Nov	1,000.00	4.0
PATTEN & PATTEN	025	SHY	S	100	84.45	n/a	n/a	5.00	5.0
COOKBIELER	028	STC	S	6,946	24.44	n/a	n/a	277.84	0.0
PATTEN & PATTEN	025	SWN	S	1,000	34.31	n/a	15-Nov	50.00	5.0
FIRST NY SEC/CHRIS	041	TGT	B	10,000	62.42	n/a	15-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	B	20,000	61.92	n/a	15-Nov	600.00	3.0
OZ MGMT	040	TGT	B	50,000	61.93	n/a	15-Nov	1,500.00	0.0
ADAGE CAPITAL MGMT	030	TJX	B	364,000	41.86	n/a	14-Nov	10,920.00	3.0
LATEEF MGMT	035	T	B	425	33.46	n/a	n/a	42.50	10.0
PATTEN & PATTEN	025	UTX	B	500	75.04	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	WAG	B	3,400	32.15	n/a	n/a	170.00	5.0
FIRST NY SEC/CHRIS	041	WMT	SS	10,000	68.54	n/a	15-Nov	500.00	5.0
OZ MGMT	040	WMT	C	165,021	68.47	n/a	15-Nov	4,950.63	0.0
LOMAS CAPITAL	040	YELP	S	60,000	16.70	n/a	n/a	1,800.00	3.0
TOCQUEVILLE	035	ZINC	B	40,000	8.39	n/a	n/a	1,600.00	0.0
<b>TOTAL (Trade Date):</b>								<b>102,928.01</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/14	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	B	199,100	7.96	n/a	n/a	7964.00 4.0
AO,CXL	11/14	SAGE ASSET MGMT (SAGEJEFF)	025	BZ	B	199,100	7.96	n/a	n/a	9955.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-1,991.00</b>
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TOTAL (Trade Date) :	102,928.01
TOTAL (AO, CXL, CRT) :	-1,991.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>100,937.01</b>
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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