



Daily Compliance Activity Report

Trade Date: 11/28/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	ANW	S	68,900	4.58	n/a	n/a	3,445.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		APD	B	21,500	82.45		n/a 15-Nov	860.00	4.0
SIMMONS VENTURES	041	ARO	SS	10,000	14.01	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	AXP	B	2,000	55.24	n/a	27-Nov	100.00	5.0
MACELLUM CAPITAL	086	BONT	S	53,739	11.89	n/a	n/a	1,612.17	0.0
MERRILL ASSET/BLACKROCK	297	BXS	S	8,340	13.23	n/a	n/a	333.60	0.0
TRUST CO/COWEN/CALF.	040	CBS	S	53,744	35.21	n/a	n/a	2,687.20	0.0
GLENHILL CAPITAL	036	COH	SS	25,000	58.37	n/a	5-Nov	1,250.00	0.0
KINGDON ASSET MGMT	041	COST	S	15,000	102.34	n/a	n/a	600.00	0.0
SIMMONS VENTURES	041	CROX	B	10,000	13.50	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		DLPH	S	30,000	33.31		n/a n/a	900.00	3.0
MERRILL ASSET/BLACKROCK	297	EV	B	3,800	31.23	n/a	n/a	152.00	0.0
ROYCE TRADING	031	FINL	B	1,000	20.11	n/a	28-Sep	50.00	0.0
HARVEST MGMT (JMP)	029	FIVE	SS	7,500	30.16	n/a	28-Nov	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VERITION	028	F	S	15,000	11.25	n/a	15-Nov	450.00	3.0
KENNEDY CAPITAL	046	GCO	B	10,000	60.59	n/a	n/a	400.00	0.0
KENNEDY CAPITAL	046	GIII	S	12,527	38.00	n/a	n/a	501.08	0.0
DENVER INST. ADV	046	ISRG	B	1,298	530.22	n/a	n/a	51.92	0.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	55.26	n/a	26-Nov	1,750.00	3.5
CAERUS GLOBAL	041	KSS	S	35,000	51.03	n/a	26-Nov	1,400.00	4.0
COUGAR TRADING	044	KSS	B	5,000	51.01	n/a	26-Nov	250.00	5.0
GLG PARTNERS	034	KSS	S	25,155	51.12	n/a	26-Nov	754.65	0.0
MERRILL ASSET/BLACKROCK	297	LNC	S	12,400	24.17	n/a	n/a	496.00	0.0
KINGDON ASSET MGMT	041	LTD	S	12,000	50.54	n/a	n/a	480.00	0.0
PRIMECAP MGMT	084	LTD	B	2,700	50.67	n/a	n/a	108.00	0.0
KLEINHEINZ CAP PART	031	M	S	60,000	39.89	n/a	26-Nov	3,000.00	5.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	3.29	n/a	n/a	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	NXY	S	50,000	24.01	n/a	n/a	1,500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PAG	S	10,000	28.22		n/a 5-Nov	300.00	3.0
JP MORGAN VENTURES	046	PLCE	S	14,000	49.51	n/a	27-Nov	560.00	4.0
ASCEND PARTNERS	033	PVH	S	10,000	114.55	n/a	1-Nov	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	RUE	B	41,378	28.82	n/a	n/a	1,655.12	0.0
BRIGADE CAPITAL MGMT	029	SAFM	S	17,500	48.31	n/a	n/a	525.00	0.0
GLG PARTNERS	034	TGT	B	31,443	62.83	n/a	27-Nov	0.00	0.0
KINGDON ASSET MGMT	041	TGT	B	30,000	62.80	n/a	27-Nov	1,200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	62.82	n/a	27-Nov	875.00	3.5
M&I FUNDS	047	URBN	B	5,327	37.95	n/a	n/a	213.08	4.0
KINGDON ASSET MGMT	041	WMT	S	30,000	70.66	n/a	15-Nov	1,200.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	17,500	20.36	n/a	n/a	525.00	3.0
TOTAL (Trade Date) :								32,384.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/27	PATTEN & PATTEN (PATTMERR)	025	QQQ	B	100	65.05	n/a	n/a	0.00	0.0
CRT	11/28	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	TGT	SS	25,000	62.82	n/a	27-Nov	875.00	3.5

TOTAL (AO, CXL, CRT) :	875.00
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TOTAL (Trade Date) :	32,384.82
TOTAL (AO, CXL, CRT) :	875.00

TOTAL (RUN DATE) / NFS:	33,259.82
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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