



Daily Compliance Activity Report

Trade Date: 10/05/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	BSX	S	50,000	5.81	n/a	n/a	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	CAB	C	8,217	56.66	n/a	n/a	246.51	0.0
EATON VANCE MGMT	029	CAM	B	125,415	55.22	n/a	n/a	3,762.45	0.0
IRIDIAN ASSET MGMT.	036	CCK	S	50,000	38.08	n/a	n/a	2,500.00	0.0
IVORY CAPITAL	034	CHK	B	95,000	19.22	n/a	n/a	4,750.00	0.0
FARBER	085	COF	S	25,000	59.28	n/a	5-Oct	1,000.00	4.0
CASTLE ARK	031	C	B	312,440	35.40	n/a	5-Oct	15,622.00	0.0
FIRST NEW YORK LEDDY	035	DKS	B	10,000	52.62	n/a	17-Sep	400.00	4.0
ROYCE TRADING	031	ENTG	B	10,000	8.30	n/a	n/a	500.00	0.0
Ø James Mitchell		FBC	B	9500	1.1782	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	FDX	S	19,000	87.00	n/a	n/a	570.00	0.0
ROYCE TRADING	031	FINL	B	45,000	22.31	n/a	28-Sep	2,250.00	0.0
SCOPUS FUND	041	FL	B	39,349	35.71	n/a	29-Aug	1,573.96	4.0
MERRILL ASSET/BLACKROCK	297	FRC	S	1,730	33.90	n/a	n/a	69.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	GGC	S	25,000	40.38	n/a	n/a	1,000.00	4.0
KLEINHEINZ CAP PART	031	GIL	S	30,000	32.96	n/a	24-Sep	1,500.00	5.0
PHILADELPHIA FINANCIAL	033	GM	S	104,900	25.15	n/a	3-Oct	4,196.00	0.0
SAC CHICAGO ANDREW	031	GNC	S	42,500	39.68	n/a	n/a	1,487.50	3.5
P.SCHOENFELD ASSET MGMT LLC	041	HPQ	S	100,000	14.75	n/a	n/a	4,000.00	0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	246,070	14.50	n/a	n/a	7,382.10	0.0
SCOPUS FUND	041	IFF	B	24,028	61.19	n/a	26-Sep	961.12	4.0
STANDARD PACIFIC CAPITAL	084	INFY	B	215,000	49.08	n/a	n/a	10,750.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	37.04	n/a	24-Sep	2,500.00	5.0
CYRUS CAPITAL	025	IWM	B	33,250	84.58	n/a	n/a	997.50	3.0
OHIO PERS	047	JOY	B	23,000	57.51	n/a	11-Jul	690.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	75,000	51.16	n/a	5-Oct	2,250.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	60,000	13.52	n/a	5-Oct	3,000.00	5.0
ARSENAL ASSET MANAGEMENT	028	MHK	B	5,000	81.74	n/a	n/a	200.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	10,000	86.63	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	MMM	B	31,700	94.96	n/a	1-Oct	951.00	0.0
MERRILL ASSET/BLACKROCK	297	MSCI	S	28,800	26.92	n/a	n/a	1,152.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	150,000	31.01	n/a	25-Jul	7,500.00	5.0
COOPER CREEK PART	028	NP	SS	5,566	27.18	n/a	14-Aug	222.64	4.0
OHIO PERS	047	PCP	S	27,362	165.01	n/a	1-Aug	820.86	0.0
IRIDIAN ASSET MGMT.	036	PKG	S	15,850	36.02	n/a	24-Sep	792.50	0.0
THOMPSON SIEGAL&WALMSLEY	029	PKY	B	15,240	13.40	n/a	n/a	454.98	0.0
BALYASNY ASSET MGMT	044	PLCE	SS	21,100	60.91	n/a	17-Sep	1,055.00	0.0
TUDOR INVESTORS	028	PNR	SS	4,995	45.37	n/a	n/a	149.85	3.0
EPOCH INV MGMT	030	RKT	S	6,940	73.34	n/a	24-Sep	208.20	0.0
OSKIE CAPITAL MGMT	224	ROST	SS	15,000	66.29	n/a	5-Oct	750.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	SAI	B	70,500	11.46	n/a	n/a	2,255.98	0.0
FORTRESS INVESTMENT (US)	036	SWK	S	26,000	75.15	n/a	n/a	1,040.00	0.0
FORTRESS INVESTMENT (US)	036	TEX	B	65,000	24.47	n/a	n/a	2,600.00	0.0
BNP PARIBAS SEC	040	TOL	B	20,000	35.27	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	TXT	B	10,000	25.97	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	URI	S	5,000	35.00	n/a	17-Apr	150.00	3.0
Õ James Mitchell		VMC	S	250	49.2635	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	WRC	S	38,946	52.06	n/a	7-Aug	1,168.38	0.0
SIMMONS VENTURES	041	WRC	B	5,000	52.04	n/a	7-Aug	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	26.90	n/a	5-Oct	1,750.00	5.0
TOTAL (Trade Date):							100,179.73		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	VISIUM/BALY BOBBY (VISBJPMC)	044	TTWO	B	10,036	10.24	n/a	n/a	501.80 0.0
AO,CXL	10/02	VISIUM/BALY BOBBY (VISBJPMN)	044	TTWO	B	10,036	10.24	n/a	n/a	501.80 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	100,179.73
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	100,179.73
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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