



Daily Compliance Activity Report

Trade Date: 12/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	100	527.18	n/a	n/a	5.00	5.0
PLATTE RIVER CAPITAL	240	AAPL	S	1,480	532.90	n/a	n/a	29.60	0.0
PLATTE RIVER CAPITAL	240	AA	S	6,780	8.61	n/a	n/a	135.60	0.0
PLATTE RIVER CAPITAL	240	ABC	S	3,800	42.90	n/a	n/a	76.00	0.0
SCOPUS FUND	041	ABG	S	20,000	29.89	n/a	13-Dec	800.00	0.0
PATTEN & PATTEN	025	ABX	S	1,500	34.09	n/a	n/a	75.00	5.0
PLATTE RIVER CAPITAL	240	ABX	S	2,280	34.52	n/a	n/a	45.60	0.0
PATTEN & PATTEN	025	ADM	S	2,000	27.12	n/a	3-Dec	100.00	5.0
PLATTE RIVER CAPITAL	240	ADTN	S	3,740	19.06	n/a	n/a	74.80	0.0
PARKWEST	084	AH	B	12,644	11.05	n/a	n/a	505.76	4.0
HIGHBRIDGE CAP	041	ALV	SS	9,500	62.09	n/a	24-Oct	285.00	3.0
PLATTE RIVER CAPITAL	240	AMZN	S	760	251.14	n/a	n/a	15.20	0.0
PATTEN & PATTEN	025	APA	S	500	76.82	n/a	6-Dec	25.00	5.0
PLATTE RIVER CAPITAL	240	APC	S	3,700	75.19	n/a	6-Dec	74.00	0.0
PLATTE RIVER CAPITAL	240	APD	S	740	82.50	n/a	13-Dec	14.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	APD	B	10,000	82.87	n/a	13-Dec	300.00	3.0
FRONTIER	029	APH	B	44,400	62.57	n/a	n/a	1,776.00	0.0
PLATTE RIVER CAPITAL	240	APKT	S	2,990	21.93	n/a	n/a	59.80	0.0
OHIO PERS	047	ASH	B	37,750	76.13	n/a	12-Dec	1,132.50	0.0
MACELLUM CAPITAL	086	ASNA	B	32,170	18.48	n/a	n/a	965.10	3.0
PROSPECTOR PARTNERS LLC	036	AUQ	S	12,500	8.22	n/a	n/a	500.00	4.0
PLATTE RIVER CAPITAL	240	AVP	S	5,300	14.34	n/a	6-Nov	106.00	0.0
PLATTE RIVER CAPITAL	240	AWAY	S	2,485	20.23	n/a	n/a	49.70	0.0
HIGHBRIDGE CAP	041	AWI	S	10,000	47.93	n/a	n/a	300.00	3.0
TROUBH PART	070	AXL	S	15,000	10.28	n/a	13-Dec	750.00	5.0
PLATTE RIVER CAPITAL	240	AXS	S	3,690	36.04	n/a	n/a	73.80	0.0
PLATTE RIVER CAPITAL	240	A	S	2,180	40.22	n/a	n/a	43.60	0.0
PLATTE RIVER CAPITAL	240	BAC	S	8,670	10.58	n/a	4-Dec	173.40	0.0
PLATTE RIVER CAPITAL	240	BA	S	1,340	75.33	n/a	11-Dec	26.80	0.0
TIDE POINT CAPITAL	034	BA	B	5,000	74.46	n/a	11-Dec	150.00	3.0
CENTURION PARTNERS	041	BBBY	S	10,000	58.06	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	BEAM	S	1,670	61.24	n/a	n/a	33.40	0.0
PLATTE RIVER CAPITAL	240	BFB	S	715	64.07	n/a	n/a	14.30	0.0
PLATTE RIVER CAPITAL	240	BHI	S	1,660	42.82	n/a	n/a	33.20	0.0
LOCUST WOOD CAPITAL MGMT	044	BKW	S	89,800	17.11	n/a	n/a	3,592.00	4.0
PLATTE RIVER CAPITAL	240	BMV	S	7,900	33.05	n/a	n/a	158.00	0.0
SIMMONS VENTURES	041	BONT	B	8,265	10.85	n/a	n/a	330.60	4.0
PATTEN & PATTEN	025	BP	S	1,000	41.35	n/a	n/a	50.00	5.0
PLATTE RIVER CAPITAL	240	BP	S	7,000	41.63	n/a	n/a	140.00	0.0
PLATTE RIVER CAPITAL	240	BRCM	S	3,760	33.80	n/a	n/a	75.20	0.0
PLATTE RIVER CAPITAL	240	BSX	S	12,330	5.66	n/a	n/a	246.60	0.0
PLATTE RIVER CAPITAL	240	BTU	S	1,970	27.51	n/a	n/a	39.40	0.0
PARKWEST	084	CALX	B	14,568	7.10	n/a	n/a	437.04	3.0
PLATTE RIVER CAPITAL	240	CAT	S	830	88.07	n/a	11-Jul	16.60	0.0
PLATTE RIVER CAPITAL	240	CB	S	1,050	77.43	n/a	n/a	21.00	0.0
PLATTE RIVER CAPITAL	240	CCJ	S	3,820	19.34	n/a	n/a	76.40	0.0
PLATTE RIVER CAPITAL	240	CCOI	S	2,810	22.20	n/a	n/a	56.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	CHK	S	6,640	16.90	n/a	n/a	132.80	0.0
HIGHBRIDGE CAP	041	CHRW	B	7,500	62.11	n/a	n/a	225.00	3.0
OHIO PERS	047	CIEN	B	360,100	16.25	n/a	n/a	10,803.00	0.0
PLATTE RIVER CAPITAL	240	CIEN	S	7,990	16.06	n/a	n/a	159.80	0.0
PLATTE RIVER CAPITAL	240	CIT	S	3,660	38.49	n/a	21-Nov	73.20	0.0
PLATTE RIVER CAPITAL	240	COF	S	3,770	58.20	n/a	13-Dec	75.40	0.0
PATTEN & PATTEN	025	COV	S	1,000	57.66	n/a	n/a	50.00	5.0
PLATTE RIVER CAPITAL	240	CPB	S	3,340	35.91	n/a	n/a	66.80	0.0
PLATTE RIVER CAPITAL	240	CREE	S	2,910	33.58	n/a	n/a	58.20	0.0
PLATTE RIVER CAPITAL	240	CRR	S	920	79.55	n/a	4-Dec	18.40	0.0
PLATTE RIVER CAPITAL	240	CSCO	S	15,060	19.71	n/a	7-Dec	301.20	0.0
PLATTE RIVER CAPITAL	240	CVC	S	5,510	14.39	n/a	n/a	110.20	0.0
PLATTE RIVER CAPITAL	240	CVX	S	1,615	107.99	n/a	n/a	32.30	0.0
PLATTE RIVER CAPITAL	240	C	S	2,595	37.49	n/a	13-Dec	51.90	0.0
BTG PACTUAL	040	DAL	S	25,000	11.19	n/a	11-Dec	750.00	3.0
PLATTE RIVER CAPITAL	240	DAL	S	6,190	10.89	n/a	11-Dec	123.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	DAL	B	189,400	11.20	n/a	11-Dec	7,576.00	0.0
TUDOR INVESTORS	028	DECK	S	25,000	38.95	n/a	n/a	750.00	3.0
PLATTE RIVER CAPITAL	240	DHR	S	2,010	54.51	n/a	n/a	40.20	0.0
HIGHBRIDGE CAP	041	DLPH	B	7,500	34.42	n/a	n/a	225.00	3.0
PLATTE RIVER CAPITAL	240	DNR	S	4,430	15.83	n/a	n/a	88.60	0.0
PLATTE RIVER CAPITAL	240	DTEGY	S	10,270	11.18	n/a	n/a	205.40	0.0
PLATTE RIVER CAPITAL	240	DWA	S	3,020	16.52	n/a	n/a	60.40	0.0
PLATTE RIVER CAPITAL	240	ECA	S	3,360	20.77	n/a	n/a	67.20	0.0
PLATTE RIVER CAPITAL	240	ELN	S	14,250	10.15	n/a	n/a	285.00	0.0
PLATTE RIVER CAPITAL	240	EMC	S	4,840	24.59	n/a	4-Dec	96.80	0.0
PLATTE RIVER CAPITAL	240	EMR	S	2,470	51.52	n/a	n/a	49.40	0.0
PLATTE RIVER CAPITAL	240	ERIC	S	11,560	9.77	n/a	n/a	231.20	0.0
PATTEN & PATTEN	025	EWC	S	1,000	28.54	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	EWG	S	3,000	24.07	n/a	n/a	150.00	5.0
PLATTE RIVER CAPITAL	240	EXC	S	3,080	29.85	n/a	n/a	61.60	0.0
LOMAS CAPITAL	040	EXP	B	22,500	55.26	n/a	n/a	675.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	FCX	S	50,000	32.59	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	FCX	S	2,000	32.45	n/a	n/a	100.00	5.0
PLATTE RIVER CAPITAL	240	FCX	S	1,570	32.28	n/a	n/a	31.40	0.0
PATTEN & PATTEN	025	FRC	S	1,500	32.17	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	F	S	3,000	11.26	n/a	4-Dec	150.00	5.0
MACELLUM CAPITAL	086	GCO	B	11,700	50.64	n/a	n/a	351.00	3.0
RAINIER INV MGMT	035	GCO	S	36,690	51.34	n/a	n/a	1,467.60	0.0
PLATTE RIVER CAPITAL	240	GDFZY	S	3,780	19.95	n/a	n/a	75.60	0.0
PLATTE RIVER CAPITAL	240	GE	S	19,870	21.79	n/a	n/a	397.40	0.0
PLATTE RIVER CAPITAL	240	GILD	S	3,190	75.73	n/a	n/a	63.80	0.0
PLATTE RIVER CAPITAL	240	GLW	S	4,060	12.74	n/a	27-Nov	81.20	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	25.19	n/a	13-Dec	300.00	0.0
PHILADELPHIA FINANCIAL	033	GM	B	106,430	25.48	n/a	13-Dec	4,257.20	0.0
PLATTE RIVER CAPITAL	240	GOOG	S	550	711.05	n/a	n/a	11.00	0.0
CENTURION PARTNERS	041	GRPN	B	10,000	4.80	n/a	n/a	400.00	4.0
PLATTE RIVER CAPITAL	240	GSK	S	6,490	43.96	n/a	n/a	129.80	0.0
PLATTE RIVER CAPITAL	240	GT	S	6,780	13.08	n/a	n/a	135.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	HBI	S	50,000	35.26	n/a	30-Nov	2,500.00	5.0
LISTED ERR	099	HBI	B	1,660	35.35	n/a	30-Nov	0.00	0.0
LISTED ERR	099	HBI	S	1,660	35.35	n/a	30-Nov	0.00	0.0
PLATTE RIVER CAPITAL	240	HIG	S	3,830	21.89	n/a	n/a	76.60	0.0
PLATTE RIVER CAPITAL	240	HMC	S	1,550	33.60	n/a	n/a	31.00	0.0
PLATTE RIVER CAPITAL	240	HNZ	S	1,070	58.61	n/a	n/a	21.40	0.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040			HRG	B	260,029	7.64	n/a	n/a	7,800.87 3.0
PLATTE RIVER CAPITAL	240	HSP	S	3,700	31.73	n/a	13-Dec	74.00	0.0
PLATTE RIVER CAPITAL	240	IBN	S	1,240	43.35	n/a	n/a	24.80	0.0
PLATTE RIVER CAPITAL	240	ILMN	S	2,190	52.85	n/a	n/a	43.80	0.0
PLATTE RIVER CAPITAL	240	INFA	S	4,495	27.76	n/a	n/a	89.90	0.0
SUFFOLK CAPITAL MGMT	040	INFN	B	44,400	5.89	n/a	n/a	1,332.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	37.56	n/a	13-Dec	1,000.00	5.0
TUDOR INVESTORS	028	IP	B	10,000	37.98	n/a	13-Dec	300.00	3.0
PLATTE RIVER CAPITAL	240	IRM	S	332	31.25	n/a	n/a	6.64	0.0
PLATTE RIVER CAPITAL	240	ITRI	S	1,965	43.97	n/a	n/a	39.30	0.0
CENTURION PARTNERS	041	JBLU	B	135,000	5.55	n/a	13-Dec	5,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	JCI	B	1,800	28.65	n/a	31-Oct	72.00	4.0
PLATTE RIVER CAPITAL	240	JDSU	S	4,680	12.59	n/a	n/a	93.60	0.0
PLATTE RIVER CAPITAL	240	JNJ	S	6,610	70.89	n/a	n/a	132.20	0.0
PLATTE RIVER CAPITAL	240	JNPR	S	6,570	18.94	n/a	13-Dec	131.40	0.0
PLATTE RIVER CAPITAL	240	JPM	S	4,525	42.70	n/a	4-Dec	90.50	0.0
PLATTE RIVER CAPITAL	240	KGC	S	8,830	9.84	n/a	n/a	176.60	0.0
PLATTE RIVER CAPITAL	240	KO	S	8,140	37.61	n/a	22-Oct	162.80	0.0
PLATTE RIVER CAPITAL	240	KSS	S	1,740	43.78	n/a	30-Nov	34.80	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	43.60	n/a	30-Nov	875.00	3.5
PLATTE RIVER CAPITAL	240	K	S	3,940	56.53	n/a	n/a	78.80	0.0
BTG PACTUAL	040	LCC	S	15,000	12.80	n/a	11-Dec	450.00	3.0
HIGHBRIDGE CAP	041	LCC	B	50,000	12.89	n/a	11-Dec	1,500.00	3.0
PLATTE RIVER CAPITAL	240	LFUGY	S	12,070	3.41	n/a	n/a	241.40	0.0
PLATTE RIVER CAPITAL	240	LINTA	S	4,290	19.23	n/a	n/a	85.80	0.0
PLATTE RIVER CAPITAL	240	LLY	S	2,020	49.02	n/a	n/a	40.40	0.0
PLATTE RIVER CAPITAL	240	LMCA	S	2,176	108.00	n/a	n/a	43.52	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	LOW	S	8,050	34.81	n/a	6-Dec	161.00	0.0
TUDOR INVESTORS	028	LOW	B	50,000	35.04	n/a	6-Dec	1,500.00	3.0
PLATTE RIVER CAPITAL	240	LUV	S	9,050	10.01	n/a	11-Dec	181.00	0.0
PLATTE RIVER CAPITAL	240	LVS	S	1,810	45.31	n/a	13-Jun	36.20	0.0
TUDOR INVESTORS	028	MLM	S	5,000	92.75	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	MRO	B	3,230	30.27	n/a	n/a	129.20	4.0
BESSEMER INVESTMENT	085	MSFT	B	4,875	27.37	n/a	n/a	195.00	4.0
BESSEMER INVESTMENT	085	NEM	B	1,165	44.34	n/a	n/a	46.60	4.0
PATTEN & PATTEN	025	NSC	S	1,500	61.14	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	NUAN	S	2,000	21.67	n/a	n/a	100.00	5.0
HALCYON LLC	041	NXY	B	50,000	26.92	n/a	n/a	1,500.00	3.0
BASSWOOD PARTNERS	267	NYCB	SS	13,800	12.93	n/a	24-Oct	552.00	0.0
HIGHBRIDGE CAP	041	OII	S	6,500	52.06	n/a	n/a	195.00	3.0
PATTEN & PATTEN	025	OXY	S	500	75.18	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	PCH	S	1,000	38.38	n/a	12-Dec	50.00	5.0
TUDOR INVESTORS	028	PCP	B	5,000	184.90	n/a	11-Dec	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PEP	S	800	70.25	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	PHO	S	2,000	20.27	n/a	n/a	100.00	5.0
OHIO PERS	047	PPG	S	23,000	124.73	n/a	14-Nov	690.00	0.0
TUDOR INVESTORS	028	PPG	S	5,000	124.61	n/a	14-Nov	150.00	3.0
SIGMA CAPITAL ASSOCIATES	041	PVH	S	25,000	109.51	n/a	29-Nov	875.00	3.5
BESSEMER INVESTMENT	085	QCOM	B	1,650	63.64	n/a	n/a	66.00	4.0
SIGMA CAPITAL ASSOCIATES	041	RCL	S	25,000	34.23	n/a	n/a	875.00	3.5
HIGHBRIDGE CAP	041	SHW	B	1,000	147.75	n/a	14-Nov	30.00	3.0
RIDGECREST INV MGMT LLC	028	SPY	B	20,000	143.49	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	STX	B	1,675	27.97	n/a	n/a	67.00	4.0
PATTEN & PATTEN	025	SU	S	1,600	32.02	n/a	n/a	80.00	5.0
PATTEN & PATTEN	025	SWN	S	2,500	33.09	n/a	10-Dec	125.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.70	n/a	n/a	800.00	4.0
SAC TRADING TOM LEDDY	035	TGT	SS	30,000	61.15	n/a	29-Nov	1,050.00	3.5
PATTEN & PATTEN	025	TIF	S	1,000	57.23	n/a	n/a	50.00	5.0
BESSEMER INVESTMENT	085	TMO	B	1,955	65.02	n/a	n/a	78.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	TRW	SS	25,000	51.53	n/a	n/a	750.00	3.0
DAVIDSON KEMPNER ADVISOR	040	TWTC	S	10,000	25.69	n/a	n/a	300.00	0.0
BNP PARIBAS SEC	040	UFS	B	10,000	78.80	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	UNH	B	2,210	55.29	n/a	n/a	88.40	4.0
HIGHBRIDGE CAP	041	UNP	B	4,250	125.41	n/a	n/a	127.50	3.0
PATTEN & PATTEN	025	UTX	S	800	80.38	n/a	n/a	40.00	5.0
TUDOR INVESTORS	028	VAL	B	5,000	59.33	n/a	n/a	150.00	3.0
BESSEMER INVESTMENT	085	WAG	B	3,760	36.90	n/a	n/a	150.40	4.0
UBS OCONNOR	031	WERN	SS	25,000	20.90	n/a	n/a	750.00	0.0
HIGHBRIDGE CAP	041	WLK	S	10,000	76.58	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	WM	B	2,475	33.78	n/a	n/a	99.00	4.0
PATTEN & PATTEN	025	WY	S	2,500	27.21	n/a	12-Dec	125.00	5.0
HIGHBRIDGE CAP	041	XLI	SS	14,000	37.67	n/a	n/a	280.00	2.0
BESSEMER INVESTMENT	085	ZMH	B	2,210	67.53	n/a	n/a	88.40	4.0

TOTAL (Trade Date):

84,978.43

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/13	TROUBH PART (TROUGOLD)	070	AXL	S	15,000	10.28	n/a	13-Dec	750.00 5.0
CRT	12/13	HIGHBRIDGE CAP (HIBCCSFB)	041	XLI	SS	14,000	37.67	n/a	n/a	280.00 2.0
TOTAL (AO, CXL, CRT) :										1,030.00

TOTAL (Trade Date):	84,978.43
TOTAL (AO, CXL, CRT):	1,030.00

TOTAL (RUN DATE) / NFS:	86,008.43
--------------------------------	------------------

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