



Daily Compliance Activity Report

Trade Date: 09/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ARO	S	50,000	14.84	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	12.90	n/a	30-Jul	400.00	4.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.73		n/a	n/a	7,500.00 0.0
OZ MGMT	040	DLTR	B	75,000	47.32	n/a	16-Aug	2,250.00	0.0
CAISSE DEPOT PLACEMENT Q	295	EA	S	40,000	14.59	n/a	n/a	1,200.00	3.0
SENATOR INVESTMENT GROUP	036	EMN	B	65,000	58.64	n/a	n/a	1,950.00	3.0
JET CAPITAL/CHRIS	041	GEO	B	60,992	28.00	n/a	n/a	1,829.76	0.0
TALPION LLC	040	GNC	S	6,000	40.36	n/a	n/a	240.00	0.0
DAVIDSON KEMPNER ADVISOR	040	HAS	C	37,790	39.69	n/a	n/a	1,889.50	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.20	n/a	n/a	200.00	0.0
CRAMER ROSENTHAL	070	ICE	B	133,980	139.99	n/a	n/a	5,359.20	0.0
SYMPHONY ASSET	033	IEO	B	10,557	68.26	n/a	n/a	316.71	0.0
TALPION LLC	040	IWM	C	2,000	86.62	n/a	n/a	80.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	IWO	S	40,172	98.54		n/a	n/a	1,205.16 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	JWN	S	4,000	57.73	n/a	31-Aug	160.00	0.0
ROSEDALE CAPITAL	046	KMX	B	15,000	32.47	n/a	n/a	600.00	4.0
SIMMONS VENTURES	041	KSS	B	5,000	53.62	n/a	31-Aug	200.00	4.0
SENATOR INVESTMENT GROUP	036	LNG	B	100,000	16.99	n/a	n/a	3,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	35,000	15.04	n/a	31-Jul	1,750.00	5.0
ARSENAL ASSET MANAGEMENT	028	MLI	B	10,000	46.75	n/a	26-Jul	400.00	0.0
CAISSE DEPOT PLACEMENT Q	295	MS	S	55,000	18.15	n/a	11-Sep	2,750.00	5.0
NEWLAND CAPITAL MGT	025	NPO	S	10,000	38.86	n/a	n/a	400.00	2.0
CAISSE DEPOT PLACEMENT Q	295	NTAP	S	20,000	36.23	n/a	n/a	600.00	3.0
ROSEDALE CAPITAL	046	NVDA	S	10,000	13.90	n/a	n/a	400.00	4.0
SHEFFIELD ASSET MGMT	031	PLCE	S	1,839	60.87	n/a	16-Aug	73.56	4.0
WAGONHOUND/NICOLAS	033	PNRA	S	3,258	170.51	n/a	26-Jul	130.32	0.0
ARSENAL ASSET MANAGEMENT	028	PNR	SS	35,000	43.53	n/a	n/a	1,400.00	0.0
ARCHON CAPITAL	035	RT	SS	47,600	7.60	n/a	n/a	1,428.00	3.0
DSG CAPITAL	030	SEE	B	20,000	16.52	n/a	2-Jun	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	SLB	B	46,300	78.01	n/a	n/a	1,852.00	0.0
SCOPUS FUND	041	SUSS	B	25,000	38.53	n/a	n/a	1,000.00	4.0
NORTHWESTERN MUTUAL LIFE	047	TGT	B	93,250	64.56	n/a	30-Aug	3,730.00	0.0
TALPION LLC	040	TIF	B	5,000	65.51	n/a	n/a	200.00	0.0
ARCHON CAPITAL	035	UA	B	17,500	60.19	n/a	22-Aug	525.00	3.0
KLEINHEINZ CAP PART	031	UA	B	20,000	60.71	n/a	22-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	27.63	n/a	27-Jul	1,750.00	5.0
STATE TEACHERS RET SYS	047	XRX	S	50,000	7.83	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	025	ZEUS	S	15,400	18.83	n/a	n/a	616.00	4.0
TOTAL (Trade Date):								53,485.21	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/13	LEVIN CAPITAL STRATEGIES (LEVSIRJPB)	041	GPC	SS	4,779	62.23	n/a	n/a	143.37 0.0
AO,	09/13	LEVIN CAPITAL STRATEGIES (LEVSIRJPB)	041	GPC	SS	4,779	62.23	n/a	n/a	143.37 0.0
AO,CXL	09/12	LEVIN CAPITAL STRATEGIES (LEVSIRJPB)	041	KSS	C	2,342	53.87	n/a	31-Aug	70.26 0.0
AO,	09/12	LEVIN CAPITAL STRATEGIES (LEVSIRJPB)	041	KSS	C	2,342	53.87	n/a	31-Aug	70.26 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	53,485.21
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	53,485.21
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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