

## **Daily Compliance Activity Report** Trade Date: 11/15/2012

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
SIMMONS VENTURES	041	AEO	В	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 STRONG/WELLS CAP ANN F	031 <b>098</b>	ANW ANW	S <b>B</b>	50,000 <b>47,792</b>	5.06 5.06	n/a <b>n/a</b>	n/a <b>n/a</b>	2,500.00 1,433.76	0.0
PATTEN & PATTEN	025	APA	В	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	В	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	В	3,000	35.74	n/a	31-0ct	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	В	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 HOLLIS CAPITAL	085 033	C C	S B	400,000 10,000	35.47 35.32	n/a n/a	15-Nov 15-Nov	16,000.00	0.0
TOTALO CALTIAL	033	C	ט	10,000	JJ•JL	11/ a	10 1100	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	С	25 <b>,</b> 000	87.24	n/a	25-Oct	750.00 0.0
METROPOLITAN CAPITAL	044	FINL	В	9,300	19.93	n/a	28-Sep	465.00 0.0
ROARING BLUE LION MGMT	031	FL	В	8 <b>,</b> 900	31.57	n/a	13-Nov	356.00 4.0
LATEEF MGMT	035	FMER	В	250	13.06	n/a	n/a	25.00 10.0
ADAGE CAPITAL MGMT	030	FNP	В	100,000	11.13	n/a	n/a	3,000.00 3.0
NOMURA/ANGEL LANE PRINCI	PAL040	F	S	300,000	10.62	n/a	15-Nov	9,000.00 3.0
OZ MGMT	040	F	С	75,000	10.63	n/a	15-Nov	2,250.00 0.0
PATTEN & PATTEN	025	GIS	В	2,800	39.94	n/a	n/a	140.00 5.0
BRONSON POINT	036	GM	В	25,000	23.95	n/a	15-Nov	750.00 0.0
CAERUS GLOBAL	041	GM	В	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	В	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

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
CATAPULT	040	IFF	В	33,861	62.10	n/a	6-Nov	1,354.44	0.0	
LATEEF MGMT	035	INTC	В	1,000	20.17	n/a	n/a	105.00	11.0	
BRONSON POINT	036	IP	В	25,000	33.67	n/a	25-Oct	750.00	0.0	
LATEEF MGMT	035	JCI	В	150	25.07	n/a	31-0ct	27.00	18.0	
TROUBH PART	070	JPM	В	25,000	39.44	n/a	15-Nov	1,250.00	5.0	
ROSEDALE CAPITAL	046	KEG	В	20,000	6.03	n/a	15-Nov	600.00	3.0	
PATTEN & PATTEN	025	KMP	В	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	В	86 <b>,</b> 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	В	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	В	750	87.48	n/a	15-Nov	75.00	10.0	
HIGHBRIDGE CAP	041	MON	В	12,000	84.75	n/a	8-0ct	360.00	3.0	
LATEEF MGMT	035	MSFT	В	500	26.79	n/a	n/a	50.00	10.0	
MASTERS CAPITAL MANAGE	025	MTU	В	100,000	4.38	n/a	n/a	2,000.00	2.0	
	CATAPULT  LATEEF MGMT  BRONSON POINT  LATEEF MGMT  TROUBH PART  ROSEDALE CAPITAL  PATTEN & PATTEN  KINGDON ASSET MGMT  COOKBIELER PATTEN & PATTEN  TOCQUEVILLE  CATAPULT  LATEEF MGMT  HIGHBRIDGE CAP  LATEEF MGMT	CATAPULT 040  LATEEF MGMT 035  BRONSON POINT 036  LATEEF MGMT 035  TROUBH PART 070  ROSEDALE CAPITAL 046  PATTEN & PATTEN 025  KINGDON ASSET MGMT 041  COOKBIELER 028 PATTEN & PATTEN 025  TOCQUEVILLE 035  CATAPULT 040  LATEEF MGMT 035  HIGHBRIDGE CAP 041  LATEEF MGMT 035	CATAPULT 040 IFF  LATEEF MGMT 035 INTC  BRONSON POINT 036 IP  LATEEF MGMT 035 JCI  TROUBH PART 070 JPM  ROSEDALE CAPITAL 046 KEG  PATTEN & PATTEN 025 KMP  KINGDON ASSET MGMT 041 LRCX  COOKBIELER 028 MCD PATTEN & PATTEN 025 MCD  TOCQUEVILLE 035 MCP  CATAPULT 040 MLM  LATEEF MGMT 035 MMM  HIGHBRIDGE CAP 041 MON  LATEEF MGMT 035 MSFT	CATAPULT 040 IFF B  LATEEF MGMT 035 INTC B  BRONSON POINT 036 IP B  LATEEF MGMT 035 JCI B  TROUBH PART 070 JPM B  ROSEDALE CAPITAL 046 KEG B  PATTEN & PATTEN 025 KMP B  KINGDON ASSET MGMT 041 LRCX S  COOKBIELER 028 MCD B PATTEN & PATTEN 025 MCD S  TOCQUEVILLE 035 MCP B  CATAPULT 040 MLM SS  LATEEF MGMT 035 MMM B  HIGHBRIDGE CAP 041 MON B  LATEEF MGMT 035 MSFT B	CATAPULT 040 IFF B 33,861  LATEEF MGMT 035 INTC B 1,000  BRONSON POINT 036 IP B 25,000  LATEEF MGMT 035 JCI B 150  TROUBH PART 070 JPM B 25,000  ROSEDALE CAPITAL 046 KEG B 20,000  PATTEN & PATTEN 025 KMP B 3,400  KINGDON ASSET MGMT 041 LRCX S 65,000  COOKBIELER 028 MCD B 86,526  PATTEN & PATTEN 025 MCD S 400  TOCQUEVILLE 035 MCP B 50,000  CATAPULT 040 MLM SS 6,898  LATEEF MGMT 035 MMM B 750  HIGHBRIDGE CAP 041 MON B 12,000	CATAPULT 040 IFF B 33,861 62.10  LATEEF MGMT 035 INTC B 1,000 20.17  BRONSON POINT 036 IP B 25,000 33.67  LATEEF MGMT 035 JCI B 150 25.07  TROUBH PART 070 JPM B 25,000 39.44  ROSEDALE CAPITAL 046 KEG B 20,000 6.03  PATTEN & PATTEN 025 KMP B 3,400 76.40  KINGDON ASSET MGMT 041 LRCX S 65,000 34.73  COOKBIELER 028 MCD B 86,526 83.99  PATTEN & PATTEN 025 MCD S 400 84.07  TOCQUEVILLE 035 MCP B 50,000 6.09  CATAPULT 040 MLM SS 6,898 82.57  LATEEF MGMT 035 MMM B 750 87.48  HIGHBRIDGE CAP 041 MON B 12,000 84.75  LATEEF MGMT 035 MSFT B 500 26.79	CATAPULT 040 IFF B 33,861 62.10 n/a  LATEEF MGMT 035 INTC B 1,000 20.17 n/a  BRONSON POINT 036 IP B 25,000 33.67 n/a  LATEEF MGMT 035 JCI B 150 25.07 n/a  TROUBH PART 070 JPM B 25,000 39.44 n/a  ROSEDALE CAPITAL 046 KEG B 20,000 6.03 n/a  PATTEN & PATTEN 025 KMP B 3,400 76.40 n/a  KINGDON ASSET MGMT 041 LRCX S 65,000 34.73 n/a  COOKBIELER 028 MCD B 86,526 83.99 n/a  PATTEN & PATTEN 025 MCD B 86,526 83.99 n/a  TOCQUEVILLE 035 MCP B 50,000 6.09 n/a  CATAPULT 040 MLM 3S 6,898 82.57 n/a  LATEEF MGMT 035 MMM B 750 87.48 n/a  HIGHBRIDGE CAP 041 MON B 12,000 84.75 n/a  LATEEF MGMT 035 MSFT B 500 26.79 n/a	CATAPULT 040 IFF B 33,861 62.10	CATAPULT 040 IFF B 33,861 62.10	CATAPULT 040 IFF B 33,861 62.10

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
APEX CAPITAL MGMT.	261	NOG	С	21,400	13.97	n/a	n/a	856.00	0.0
FIRST NEW YORK LEDDY	035	NOK	В	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 <b>,</b> 000	67.79	n/a	n/a	2,250.00	3.0
LATEEF MGMT	035	PG	В	100	66.16	n/a	13-Nov	28.00	28.0
CR INTRINIC INVESTMENT	044	PKG	В	30,000	34.88	n/a	16-Oct	1,050.00	3.5
METROPOLITAN CAPITAL	044	PLCE	В	6 <b>,</b> 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	В	1,800	62.17	n/a	5-Nov	90.00	5.0
OSKIE CAPITAL MGMT	224	ROST	В	15,000	52.75	n/a	5-Nov	750.00	5.0
SCOPUS FUND	041	ROST	В	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	В	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 PRIN	CIPAL040	TGT	В	20,000	61.92	n/a	15-Nov	600.00	3.0
OZ MGMT	040	TGT	В	50,000	61.93	n/a	15-Nov	1,500.00	0.0
ADAGE CAPITAL MGMT	030	TJX	В	364,000	41.86	n/a	14-Nov	10,920.00	3.0
LATEEF MGMT	035	T	В	425	33.46	n/a	n/a	42.50	10.0
PATTEN & PATTEN	025	UTX	В	500	75.04	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	WAG	В	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	С	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	В	40,000	8.39	n/a	n/a	1,600.00	0.0

TOTAL (Trade Date): 102,928.01

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Re	esearch	Comm.¢/	Shr.
•		SAGE ASSET MGMT (SAGEJEFF) SAGE ASSET MGMT (SAGEJEFF)	025 025	BZ BZ	В	199,100 199,100	7.96 7.96	n/a n/a			4.0
TOTAL	(AO, (	CXL, CRT):							-1,	991.00	

TOTAL (AO, CXL, CRT):	-1,991.00
TOTAL (RUN DATE) / NFS:	100,937.01

## 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