



Daily Compliance Activity Report

Trade Date: 10/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MUHLENKAMP FUND	046	ABT	S	100,000	66.13	n/a	n/a	5,000.00	5.0
SAC TRADING TOM LEDDY	035	ANN	B	20,000	36.09	n/a	n/a	700.00	3.5
TUDOR INVESTORS	028	APD	B	5,000	82.13	n/a	19-Oct	150.00	3.0
TUDOR INVESTORS	028	ARG	S	5,000	82.82	n/a	8-Aug	150.00	3.0
INTERVAL PARTNERS	033	AXL	SS	20,000	11.98	n/a	18-Oct	600.00	0.0
BRIGADE CAPITAL MGMT	029	BYD	SS	25,000	6.45	n/a	n/a	750.00	0.0
SAGE ASSET MGMT	025	BZ	S	15,239	8.71	n/a	n/a	609.56	4.0
CR INTRINSIC/CHRIS C	041	CHRW	SS	1,500	60.61	n/a	n/a	52.50	3.5
BALYASNY ASSET MGMT	044	CHS	S	50,000	19.07	n/a	5-Feb	2,500.00	0.0
OSKIE CAPITAL MGMT	224	CP	S	5,000	89.43	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	CSX	B	10,000	21.03	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	CVE	B	10,000	34.55	n/a	n/a	400.00	0.0
BALYASNY ASSET MGMT	044	DDS	B	10,000	76.82	n/a	n/a	500.00	0.0
CR INTRINSIC/CHRIS C	041	DD	SS	1,000	49.32	n/a	19-Oct	35.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	DTG	C	30,000	84.65	n/a	n/a	900.00	0.0
CR INTRINSIC/CHRIS C	041	EMR	SS	1,500	48.35	n/a	n/a	52.50	3.5
CR INTRINSIC/CHRIS C	041	ETN	SS	1,500	45.92	n/a	19-Oct	52.50	3.5
SIMMONS VENTURES	041	GES	B	10,000	25.50	n/a	18-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	24.98	n/a	18-Oct	300.00	0.0
TEMAGAMI CAPITAL	041	GM	B	14,600	24.95	n/a	18-Oct	584.00	4.0
SAC TRADING TOM LEDDY	035	GPS	B	25,000	36.36	n/a	n/a	875.00	3.5
ARMATURE CAPITAL	041	GT	S	50,000	12.39	n/a	n/a	2,000.00	0.0
LOMAS CAPITAL	040	GT	S	90,000	12.37	n/a	n/a	2,700.00	3.0
NEUBERGER BERMAN	036	HBI	B	10,000	33.48	n/a	18-Oct	400.00	0.0
BRONSON POINT	036	HOG	S	25,000	44.43	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	HSIC	B	10,000	75.12	n/a	n/a	400.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	10,000	84.12	n/a	n/a	400.00	0.0
EMPYREAN CAPITAL	084	IP	S	75,000	37.40	n/a	15-Oct	3,750.00	0.0
CR INTRINSIC/CHRIS C	041	ITW	SS	1,500	60.62	n/a	n/a	52.50	3.5
CR INTRINSIC/CHRIS C	041	JCI	SS	2,500	26.27	n/a	16-Oct	87.50	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	JNY	SS	5,000	13.49	n/a	18-Oct	250.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	JWN	S	20,000	56.91	n/a	5-Oct	600.00	3.0
BNP PARIBAS SEC	040	KR	SS	100,000	25.11	n/a	n/a	3,000.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	KR	B	15,000	25.19	n/a	n/a	450.00	3.0
SCOPUS FUND	041	KSS	B	40,000	52.97	n/a	17-Oct	1,600.00	0.0
SUFFOLK CAPITAL MGMT	040	KSS	B	57,000	53.73	n/a	17-Oct	2,280.00	0.0
CORVEX CAPITAL	041	LNG	B	25,000	15.76	n/a	n/a	750.00	0.0
SUFFOLK CAPITAL MGMT	040	LOW	S	27,100	33.15	n/a	20-Aug	1,084.00	0.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	71.46	n/a	10-Sep	1,000.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	MCD	B	12,500	89.81	n/a	19-Oct	375.00	3.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	10,000	84.75	n/a	n/a	400.00	0.0
CR INTRINSIC/CHRIS C	041	MMM	SS	500	93.51	n/a	1-Oct	17.50	3.5
ROSEDALE CAPITAL	046	PBCT	S	25,000	12.35	n/a	19-Oct	1,000.00	4.0
CASTLEROCK	040	PH	B	20,000	79.33	n/a	n/a	800.00	4.0
CR INTRINSIC/CHRIS C	041	PLL	SS	1,000	63.42	n/a	n/a	35.00	3.5
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	50,000	46.01	n/a	4-Oct	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	STZ	C	36,565	35.63	n/a	n/a	1,096.95	0.0
HEIGHTS CAPITAL	251	ST	SS	57,000	28.42	n/a	n/a	2,280.00	0.0
SIGMA CAPITAL ASSOCIATES	041	SYI	B	50,000	31.72	n/a	n/a	1,750.00	3.5
CR INTRINSIC/CHRIS C	041	UTX	SS	1,000	78.32	n/a	n/a	35.00	3.5
TUDOR INVESTORS	028	VALE	B	10,000	18.29	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	WFC	S	69,205	34.52	n/a	15-Oct	2,768.20	0.0
SCOPUS FUND	041	WY	B	30,411	28.25	n/a	15-Oct	1,216.44	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	B	35,000	71.04	n/a	11-Oct	1,050.00	3.0
TOTAL (Trade Date) :								51,439.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/16	PARKWEST (PARWGSBULK)	084	AH	SS	25,000	12.19	n/a	n/a	750.00 3.0
AO,CRT	10/16	PARKWEST (PARWGSBULK)	084	AH	SS	25,000	12.19	n/a	n/a	1000.00 4.0
AO,CXL	10/17	ACK ASSET (ACKABEARPB)	028	AXL	B	50,400	12.17	n/a	18-Oct	1512.00 0.0
AO,	10/17	ACK ASSET (ACKABEARPB)	028	AXL	B	29,193	12.17	n/a	18-Oct	875.79 0.0
AO,	10/17	ACK ASSET (ACKAMS)	028	AXL	B	21,207	12.17	n/a	18-Oct	636.21 0.0
AO,CXL	10/18	TEMAGAMI CAPITAL (TEMAGS)	041	BEE	B	72,400	6.03	n/a	n/a	2172.00 3.0
AO,CRT	10/18	TEMAGAMI CAPITAL (TEMAGS)	041	BEE	B	59,007	6.03	n/a	n/a	1770.21 3.0
AO,	10/18	TEMAGAMI CAPITAL (TEMAJPMORG)	041	BEE	B	13,393	6.03	n/a	n/a	401.79 0.0
AO,CXL	10/18	FORTRESS INVESTMENT (US) (FORTMS)	036	DOV	SS	70,000	57.71	n/a	n/a	2800.00 0.0
AO,	10/18	FORTRESS INVESTMENT (US) (FORTMS)	036	DOV	SS	70,000	57.71	n/a	n/a	1400.00 0.0
AO,CXL	10/18	FORTRESS INVESTMENT (US) (FORTMS)	036	NOV	S	38,000	81.99	n/a	n/a	1520.00 0.0
AO,	10/18	FORTRESS INVESTMENT (US) (FORTMS)	036	NOV	S	38,000	81.99	n/a	n/a	760.00 0.0
AO,	10/15	MERRILL ASSET/BLACKROCK (MERRGAEUS)	297	WFC	B	15,844	33.77	n/a	15-Oct	633.76 0.0
AO,CXL	10/15	MERRILL ASSET/BLACKROCK (MERR2100)	297	WFC	B	15,844	33.77	n/a	15-Oct	633.76 0.0

TOTAL (AO, CXL, CRT) :**-1,910.00**

TOTAL (Trade Date) :

51,439.15

TOTAL (AO, CXL, CRT) :

-1,910.00

TOTAL (RUN DATE) / NFS:

49,529.15

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