



Daily Compliance Activity Report

Trade Date: 10/18/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	ACOM	S	13,667	29.88	n/a	n/a	410.01	0.0
FRED ALGER MGMT	035	AIG	S	90,780	37.21	n/a	n/a	3,268.08	0.0
COLUMBUS CIRCLE	036	ALGN	S	9,700	27.10	n/a	n/a	388.00	0.0
WEINTRAUB CAPITAL MGT.	084	AMGN	B	25,000	88.96	n/a	n/a	1,000.00	4.0
PERIMETER	273	AZZ	B	35,422	36.88	n/a	n/a	1,416.88	0.0
NOKOMIS PARTNERS	031	BBOX	SS	10,000	24.84	n/a	n/a	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	BBY	B	10,000	17.34	n/a	n/a	300.00	0.0
TEMAGAMI CAPITAL	041	BEE	B	72,400	6.03	n/a	n/a	2,172.00	3.0
SYSTEMATIC FINANCIAL MGT	035	BUD	S	81,275	86.50	n/a	3-Oct	2,438.25	0.0
ARSENAL ASSET MANAGEMENT	028	BWA	B	9,700	67.56	n/a	18-Oct	388.00	0.0
S.A.C. CAP/ORENSTEIN	044	CCL	B	100,000	38.94	n/a	n/a	3,500.00	3.5
SASCO	033	CNX	B	9,350	36.11	n/a	n/a	327.25	0.0
OSKIE CAPITAL MGMT	224	CP	S	7,000	91.00	n/a	n/a	350.00	5.0
MACELLUM CAPITAL	086	CROX	SS	34,210	16.58	n/a	n/a	1,026.30	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT)	251	DG	B	10,000	48.14		n/a 5-Sep	400.00	4.0
CAISSE DEPOT PLACEMENT Q	257	DLLR	B	10,000	16.90	n/a	n/a	400.00	4.0
FORTRESS INVESTMENT (US)	036	DOV	SS	70,000	57.71	n/a	n/a	2,800.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DOV	B	10,000	57.69		n/a n/a	400.00	4.0
CAISSE DEPOT PLACEMENT Q	257	DOX	SS	13,000	32.75	n/a	n/a	390.00	3.0
GLOBAL 56 LLC	060	DSX	S	3,500	7.20	n/a	n/a	105.00	3.0
CRAMER ROSENTHAL	070	EMC	B	59,650	25.08	n/a	n/a	2,386.00	0.0
MERRILL ASSET/BLACKROCK	297	FCFS	B	8,048	44.97	n/a	n/a	321.92	0.0
ROYCE TRADING	031	FINL	B	13,000	20.76	n/a	28-Sep	650.00	0.0
OZ MGMT	040	F	S	350,000	10.39	n/a	18-Oct	10,500.00	0.0
LONG OAR GLOBAL INV	040	GM	B	31,307	25.52	n/a	18-Oct	1,252.28	4.0
OSKIE CAPITAL MGMT	224	GM	B	42,000	25.43	n/a	18-Oct	2,100.00	5.0
CR INTRINSIC/CHRIS C	041	GT	B	5,000	12.69	n/a	n/a	175.00	3.5
KLEINHEINZ CAP PART	031	HON	S	100,000	61.30	n/a	5-Oct	5,000.00	5.0
CR INTRINSIC/CHRIS C	041	HTZ	B	2,500	14.68	n/a	n/a	87.50	3.5
BALYASNY ASSET MGMT	044	IP	S	25,000	38.17	n/a	15-Oct	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERGREEN	047	IWM	B	12,830	83.71	n/a	n/a	513.20	0.0
EVERGREEN	047	IWS	B	41,909	50.01	n/a	n/a	1,676.36	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	S	25,000	53.53	n/a	17-Oct	750.00	3.0
CASTLEROCK	040	LNCO	S	10,000	38.92	n/a	n/a	400.00	4.0
CATAPULT/KGLT	040	LNG	B	25,000	16.01	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	LPX	B	25,000	15.91	n/a	15-Oct	1,000.00	4.0
CASTLEROCK	040	MCD	SS	2,500	93.37	n/a	12-Oct	100.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	MCD	SS	25,000	92.77	n/a	12-Oct	750.00	3.0
ARSENAL ASSET MANAGEMENT	028	MLM	S	15,000	85.17	n/a	n/a	600.00	0.0
MACELLUM CAPITAL	086	MNRO	B	16,900	33.65	n/a	n/a	507.00	3.0
IVORY CAPITAL	034	MSFT	S	105,000	29.55	n/a	n/a	5,250.00	0.0
WEINTRAUB CAPITAL MGT.	084	NKE	B	25,000	97.91	n/a	28-Sep	1,000.00	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.82	n/a	n/a	800.00	4.0
FORTRESS INVESTMENT (US)	036	NOV	S	38,000	81.99	n/a	n/a	1,520.00	0.0
BNP PARIBAS SEC	040	OC	S	10,000	32.15	n/a	n/a	300.00	3.0
FRED ALGER MGMT	035	ROST	B	53,850	62.78	n/a	5-Oct	1,938.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAISSE DEPOT PLACEMENT Q	257	SCHW	SS	100,000	13.59	n/a	n/a	4,000.00	4.0
SAC CHICAGO ANDREW	031	SWY	SS	150,000	16.51	n/a	n/a	5,250.00	3.5
GUGGENHEIM GLOBAL TRADING (GGT)	251	S	B	10,000	5.78		n/a	n/a	200.00 2.0
CRAMER ROSENTHAL	070	TXT	C	13,855	25.70	n/a	n/a	554.20	0.0
LOMAS CAPITAL	040	WGO	B	50,000	12.87	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	WY	B	30,411	28.57	n/a	15-Oct	1,216.44	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	B	25,000	16.01		n/a	n/a	500.00 2.0
LOMAS CAPITAL	040	YUM	SS	22,200	71.56	n/a	11-Oct	666.00	3.0
TOTAL (Trade Date) :								77,494.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLX221589)	047	EBAY	B	1,100	48.30	n/a	n/a	44.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLXG10150)	047	EBAY	B	19,800	48.30	n/a	n/a	792.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLXNMLF79)	047	EBAY	B	26,300	48.30	n/a	n/a	1052.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLXG09146)	047	EBAY	B	3,600	48.30	n/a	n/a	144.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLXG10151)	047	EBAY	B	26,800	48.30	n/a	n/a	1072.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLXG03771)	047	EBAY	B	25,700	48.30	n/a	n/a	1028.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLX221597)	047	EBAY	B	500	48.30	n/a	n/a	20.00 0.0
AO,	10/17	NORTHWESTERN MUTUAL LIFE (NMLX875002)	047	EBAY	B	9,800	48.30	n/a	n/a	392.00 0.0
AO,CXL	10/17	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	FTNT	B	20,000	19.98	n/a	n/a	1000.00 5.0
AO,CRT	10/17	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	257	FTNT	B	20,000	19.98	n/a	n/a	600.00 3.0
AO,CRT	10/17	LISTED ERR (LISTED ERR)	099	VMI	SS	2,600	132.99	n/a	n/a	0.00 0.0
AO,CRT	10/17	LISTED ERR (LISTED ERR)	099	VMI	SS	1,100	132.82	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										4,144.00
TOTAL (Trade Date):										77,494.27
TOTAL (AO, CXL, CRT):										4,144.00
TOTAL (RUN DATE) / NFS:										81,638.27

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