



Daily Compliance Activity Report

Trade Date: 10/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	ANW	B	22,000	5.61	n/a	n/a	1,100.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AVP	SS	50,000	15.65	n/a	22-Oct	1,750.00	3.5
NEWLAND CAPITAL MGT	025	AXL	B	12,800	10.30	n/a	18-Oct	512.00	4.0
NEWLAND CAPITAL MGT	025	AXL	S	12,800	10.97	n/a	18-Oct	512.00	4.0
ROSEDALE CAPITAL	046	AXL	B	17,500	10.33	n/a	18-Oct	700.00	4.0
SPARTAN	093	AXL	B	15,000	10.35	n/a	18-Oct	450.00	3.0
S.A.C. CAPITAL	044	BEAV	S	42,000	45.49	n/a	25-Oct	1,470.00	3.5
OTTER CREEK MGMT	093	CLD	S	20,000	19.91	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	CME	B	77,400	55.02	n/a	28-Apr	2,322.00	0.0
EDGEWOOD	085	COH	B	32,042	55.98	n/a	24-Oct	1,602.10	0.0
M&I FUNDS	047	COH	B	4,017	56.81	n/a	24-Oct	160.68	4.0
BASSWOOD PARTNERS	267	DAN	B	43,600	12.84	n/a	18-Oct	1,744.00	0.0
BRIGADE CAPITAL MGMT	029	DAN	S	150,000	12.79	n/a	18-Oct	4,500.00	0.0
BTG PACTUAL	040	DG	B	5,000	47.56	n/a	5-Sep	150.00	3.0
CONIFER/FIRESTORM/BC	033	DKS	SS	6,000	49.98	n/a	17-Sep	240.00	4.0
STANDARD PACIFIC CAPITAL	084	DV	B	175,324	26.01	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	DY	B	10,000	14.16	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	ENDP	B	12,240	29.16	n/a	23-Oct	367.20	0.0
ROYCE TRADING	031	FINL	B	12,069	20.49	n/a	28-Sep	603.45	0.0
METROPOLITAN CAPITAL	044	FL	B	5,700	33.23	n/a	29-Aug	285.00	5.0
OSKIE CAPITAL MGMT	224	GM	B	30,000	23.62	n/a	18-Oct	1,500.00	5.0
TRELLUS PARTNERS LP	028	GM	B	15,000	23.35	n/a	18-Oct	450.00	0.0
LOMAS CAPITAL	040	GT	S	70,000	11.19	n/a	n/a	2,100.00	3.0
PALESTRA	040	HBAN	B	82,000	6.32	n/a	n/a	4,100.00	5.0
SANDLER CAPITAL	028	HP	B	75,000	48.71	n/a	n/a	3,750.00	0.0
BALYASNY ASSET MGMT	044	IP	S	25,000	35.59	n/a	25-Oct	1,250.00	0.0
J. GOLDMAN	028	JCI	B	28,000	26.28	n/a	23-Oct	1,120.00	4.0
LEVIN CAPITAL STRATEGIES	041	KSS	B	6,560	52.37	n/a	26-Oct	196.80	0.0
COOPER CREEK PART	028	LPX	B	8,000	15.16	n/a	15-Oct	320.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	38.25	n/a	26-Oct	1,000.00	0.0
OHIO PERS	047	NIHD	S	17,000	7.27	n/a	n/a	510.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	20,000	43.80	n/a	15-Oct	1,000.00	5.0
WELLSPRING CAPITAL	093	PSSI	S	99,355	28.57	n/a	n/a	3,974.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	RKT	S	7,500	73.11	n/a	15-Oct	300.00	4.0
LISTED ERR	099	SFD	S	100	20.72	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	10,000	35.68	n/a	n/a	300.00	0.0
FORWARD MGMT	033	TGT	B	7,500	63.50	n/a	26-Oct	300.00	0.0
GEORGE WEISS	034	TGT	B	15,000	63.86	n/a	26-Oct	600.00	0.0
SCOPUS FUND	041	TGT	B	20,000	63.58	n/a	26-Oct	800.00	4.0
PATTEN & PATTEN	025	TRN	B	2,000	31.28	n/a	n/a	100.00	5.0
BAIRD INVESTMENT	047	UA	B	25,250	51.78	n/a	26-Oct	1,262.50	0.0
J. GOLDMAN	028	URI	SS	25,000	38.32	n/a	17-Apr	1,000.00	4.0
MERRILL ASSET/BLACKROCK	297	V	S	4,746	137.72	n/a	24-Oct	189.84	0.0
COLUMBUS CIRCLE	036	WWAV	B	15,400	17.93	n/a	n/a	616.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	69.84	n/a	11-Oct	1,000.00	0.0
TOTAL (Trade Date) :								47,607.77	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/25	LISTED ERR (LISTED ERR)	097	SFD	B	100	20.55	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	47,607.77
TOTAL (AO, CXL, CRT) :	0.00
TOTAL (RUN DATE) / NFS :	47,607.77

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