



Daily Compliance Activity Report

Trade Date: 09/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	B	28,000	8.92	n/a	n/a	560.00	2.0
ROYCE TRADING	031	AEO	B	5,000	20.95	n/a	2-Dec	250.00	0.0
KLEINHEINZ CAP PART	031	AN	S	75,000	43.10	n/a	20-Jul	3,750.00	5.0
CYRUS CAPITAL	025	AWI	S	7,000	45.60	n/a	n/a	210.00	3.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	30,000	11.26	n/a	30-Jul	1,200.00	0.0
Ñ Nilsa Vazquez		AXL	B	350	11.0240	n/a	30-Jul	0.00	0.0
BRONSON POINT	036	AXP	C	40,000	56.49	n/a	20-Sep	1,200.00	0.0
BASSWOOD PARTNERS	267	CHRW	SS	3,300	59.48	n/a	n/a	132.00	0.0
SENATOR INVESTMENT GROUP	036	COF	B	35,000	55.44	n/a	20-Sep	1,050.00	3.0
VISIUM/BALY BOBBY	044	CP	B	15,295	83.75	n/a	n/a	764.75	0.0
PERIMETER	273	CRL	B	2,690	37.56	n/a	n/a	107.60	0.0
CHESAPEAKE PARTNERS	028	DGI	B	24,525	20.61	n/a	n/a	735.75	3.0
PERIMETER	273	DGI	B	3,640	20.99	n/a	n/a	145.60	0.0
CHESAPEAKE PARTNERS	028	ETFC	B	10,000	8.65	n/a	n/a	300.00	3.0
BAIRD INVESTMENT	047	ETN	B	9,800	46.25	n/a	26-Sep	490.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	FINL	B	15,000	22.49	n/a	21-Sep	600.00	0.0
ROYCE TRADING	031	FINL	B	9,000	22.46	n/a	21-Sep	450.00	0.0
SAC CHICAGO ANDREW	031	FINL	B	50,000	22.50	n/a	21-Sep	1,750.00	3.5
VISIUM/BALY BOBBY	044	FLR	B	3,000	55.97	n/a	n/a	150.00	0.0
STANDARD PACIFIC CAPITAL	084	FMCN	S	179,100	23.24	n/a	n/a	8,955.00	5.0
LATEEF MGMT	035	FMER	B	625	14.79	n/a	n/a	62.50	10.0
BAIRD INVESTMENT	047	FTNT	B	11,850	21.82	n/a	n/a	592.50	0.0
FORTRESS INVESTMENT (US)	036	GE	B	135,000	22.17	n/a	n/a	2,700.00	0.0
ROSEDALE CAPITAL	046	GM	B	10,000	22.96	n/a	25-Sep	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	35.70	n/a	24-Sep	750.00	5.0
BASSWOOD PARTNERS	267	ITW	SS	7,600	59.47	n/a	n/a	304.00	0.0
METROPOLITAN CAPITAL	044	JAKK	S	22,905	14.13	n/a	n/a	1,145.25	5.0
BASSWOOD PARTNERS	267	JWN	SS	4,400	54.79	n/a	31-Aug	176.00	0.0
BASSWOOD PARTNERS	267	KMX	SS	14,300	28.28	n/a	n/a	572.00	0.0
RIDGECREST INV MGMT LLC	028	KORS	S	2,500	52.11	n/a	n/a	100.00	4.0
CYRUS CAPITAL	025	KRO	SS	10,000	14.90	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	30,000	51.39	n/a	31-Aug	900.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	12,900	28.60	n/a	5-Sep	645.00	5.0
WOOSTER CAPITAL	035	LEA	B	10,000	37.48	n/a	3-Aug	500.00	5.0
BRONSON POINT	036	LM	C	37,500	24.83	n/a	2-Mar	1,125.00	0.0
DISIPLINED GROWTH INV.	030	LTD	B	4,000	49.06	n/a	n/a	200.00	0.0
DISIPLINED GROWTH INV.	030	MIDD	B	1,300	115.90	n/a	n/a	65.00	0.0
PARKWEST	084	MINI	B	27,767	16.77	n/a	n/a	1,110.68	4.0
BASSWOOD PARTNERS	267	MSM	SS	2,200	70.37	n/a	n/a	88.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	40,000	30.49	n/a	25-Jul	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	M	S	20,150	37.75	n/a	31-Aug	604.50	0.0
HIGHBRIDGE CAP	041	NSC	SS	3,500	64.49	n/a	n/a	105.00	3.0
STANDARD PACIFIC CAPITAL	084	PCAR	B	125,000	39.81	n/a	12-Sep	6,250.00	5.0
STANDARD PACIFIC CAPITAL	084	PH	SS	55,000	82.21	n/a	n/a	2,750.00	5.0
BALYASNY ASSET MGMT	044	PLL	SS	20,000	63.16	n/a	n/a	1,000.00	0.0
MACELLUM CAPITAL	086	PVH	B	7,720	92.62	n/a	29-Aug	231.60	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	RCL	B	2,900	29.95	n/a	n/a	145.00	0.0
MACELLUM CAPITAL	086	RUE	SS	11,760	30.32	n/a	n/a	352.80	3.0
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	143.63	n/a	n/a	400.00	4.0
VISIUM/BALY BOBBY	044	SWFT	B	10,000	8.54	n/a	n/a	400.00	0.0
NEW JERSEY DIV OF INV.	030	TGI	S	10,000	61.35	n/a	n/a	400.00	4.0
SAC CHICAGO ANDREW	031	TGT	S	30,000	63.99	n/a	30-Aug	1,050.00	3.5
BRONSON POINT	036	TIF	B	25,000	61.61	n/a	n/a	750.00	0.0
DISIPLINED GROWTH INV.	030	TJX	B	7,400	44.51	n/a	31-Aug	370.00	0.0
BRONSON POINT	036	TYC	S	25,000	54.69	n/a	3-Aug	750.00	0.0
VISIUM/BALY BOBBY	044	UNP	S	10,640	119.06	n/a	n/a	532.00	0.0
HIGHBRIDGE CAP	041	USG	B	11,500	21.75	n/a	1-Aug	345.00	3.0
VISIUM/BALY BOBBY	044	WBC	B	5,000	56.03	n/a	29-Aug	250.00	0.0
INVESCO	031	WMT	B	57,724	74.50	n/a	17-Aug	2,308.96	0.0
HIGHBRIDGE CAP	041	XLV	SS	50,000	40.19	n/a	n/a	1,000.00	2.0
HIGHBRIDGE CAP	041	X	B	13,000	19.61	n/a	n/a	390.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ZUMZ	SS	37,500	26.52	n/a	n/a	1,125.00	3.0
TOTAL (Trade Date):								58,146.49	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/26	WOOSTER CAPITAL (WOOSGOLDMA)	035	LEA	B	10,000	37.48	n/a	3-Aug	500.00 5.0
CRT	09/26	HIGHBRIDGE CAP (HIBCCSFB)	041	XLV	SS	50,000	40.19	n/a	n/a	1000.00 2.0
TOTAL (AO, CXL, CRT) :										1,500.00

TOTAL (Trade Date):	58,146.49
TOTAL (AO, CXL, CRT):	1,500.00

TOTAL (RUN DATE) / NFS:	59,646.49
--------------------------------	------------------

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