



Daily Compliance Activity Report

Trade Date: 12/20/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AHL	B	10,000	32.64	n/a	n/a	400.00	4.0
SUFFOLK CAPITAL MGMT	040	ATU	B	11,800	27.04	n/a	n/a	472.00	0.0
BTG PACTUAL	040	AXL	B	5,000	10.92	n/a	20-Dec	150.00	3.0
HOLLIS CAPITAL	033	CBS	B	5,000	37.54	n/a	n/a	250.00	5.0
CAMBIAR CAP	046	CBT	S	34,090	39.69	n/a	6-Dec	1,363.60	0.0
M&I FUNDS	047	CHKP	B	11,180	47.43	n/a	n/a	447.20	4.0
FORTRESS INVESTMENT (US)	036	CMI	S	4,500	107.72	n/a	n/a	90.00	0.0
CASTLEROCK	040	DRI	B	5,000	46.27	n/a	17-Dec	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DRI	SS	30,000	45.96	n/a	17-Dec	900.00	3.0
GEORGE WEISS	034	DVY	SS	2,500	58.04	n/a	n/a	100.00	0.0
BTG PACTUAL	040	EAT	SS	10,000	31.54	n/a	25-Oct	300.00	3.0
COBALT	041	EXP	B	50,000	58.47	n/a	n/a	2,000.00	4.0
COLUMBUS CIRCLE	036	EZCH	S	2,220	35.30	n/a	n/a	88.80	0.0
PZENA INV ADV	044	FAF	S	735	24.28	n/a	n/a	25.73	0.0
PZENA INV ADV	044	FBHS	S	1,600	29.94	n/a	n/a	56.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	FL	S	145,675	33.27	n/a	16-Nov	7,283.75	0.0
DECADE CAPITAL CHRIS C	041	GM	B	25,000	27.15	n/a	20-Dec	1,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	27.40	n/a	20-Dec	300.00	0.0
HOPLITE MGMT	025	GPS	SS	50,000	31.63	n/a	n/a	2,000.00	0.0
PZENA INV ADV	044	HII	S	407	42.23	n/a	n/a	14.25	0.0
PROSPECTOR PARTNERS LLC	036	HSH	B	10,000	28.34	n/a	n/a	400.00	4.0
ACK ASSET	028	IFSIA	B	25,000	15.99	n/a	n/a	750.00	0.0
BNP PARIBAS SEC	040	IP	B	15,000	39.65	n/a	18-Dec	450.00	3.0
SCOPUS FUND	041	JWN	B	25,000	51.63	n/a	30-Nov	1,000.00	4.0
BTG PACTUAL	040	KORS	SS	10,000	54.79	n/a	14-Nov	300.00	3.0
SUFFOLK CAPITAL MGMT	040	KRO	S	27,700	16.61	n/a	n/a	1,108.00	0.0
SIMMONS VENTURES	041	KSS	B	10,000	43.63	n/a	30-Nov	400.00	4.0
PZENA INV ADV	044	LH	B	7,100	87.50	n/a	n/a	248.50	0.0
WATERFRONT CAP	028	LOW	SS	97,100	35.26	n/a	6-Dec	3,884.00	0.0
TRUST CO OF THE WEST/NY	040	LRY	S	39,261	35.62	n/a	n/a	1,963.05	0.0
TRUST CO/COWEN/CALF.	040	LRY	S	10,210	35.62	n/a	n/a	510.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	LTM	B	25,000	49.03	n/a	n/a	875.00	3.5
COLUMBUS CIRCLE	036	MLNX	B	1,500	60.40	n/a	n/a	60.00	0.0
SUFFOLK CAPITAL MGMT	040	MPWR	S	15,000	21.52	n/a	n/a	600.00	0.0
METROPOLITAN CAPITAL	044	M	B	6,564	37.80	n/a	30-Nov	328.20	5.0
ROSEDALE CAPITAL	046	NAV	S	10,000	20.09	n/a	11-Jul	500.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ORCL	B	130,000	34.01	n/a	n/a	5,200.00	0.0
COBALT	041	PRU	B	100,000	54.38	n/a	n/a	4,000.00	4.0
DELTEC ASSET MGMT.	040	RKT	B	5,000	69.75	n/a	18-Dec	250.00	5.0
COBALT	041	RYN	B	50,000	51.15	n/a	31-Oct	2,000.00	4.0
OMEGA ADVISORS	041	TEVA	S	266,870	37.95	n/a	17-Dec	8,006.10	0.0
J. GOLDMAN	028	TGT	SS	10,000	60.40	n/a	29-Nov	400.00	4.0
TUDOR INVESTORS	028	TJX	B	50,000	42.44	n/a	30-Nov	1,500.00	3.0
TRUST CO/COWEN/CALF.	040	TYC	B	65,855	29.42	n/a	16-Nov	3,292.75	0.0
SUFFOLK CAPITAL MGMT	040	UNH	B	87,450	55.40	n/a	n/a	3,498.00	0.0
BNP PARIBAS SEC	040	X	SS	30,000	24.41	n/a	n/a	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
YORK CAPITAL	036	YHOO	S	250,000	19.56	n/a	n/a	7,500.00	3.0
TOTAL (Trade Date):								67,365.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	M&I FUNDS (MIFD242)	047	BEAV	S	500	48.19	n/a	11-Dec	20.00 0.0
AO,CXL	12/18	M&I FUNDS (MIFD120)	047	BEAV	S	500	48.19	n/a	11-Dec	20.00 0.0
AO,CXL	12/19	SMITH MGMT/ALDEN GLOBAL (SMITJPMOR)	029	DNDN	B	659,340	5.32	n/a	n/a	19780.20 0.0
AO,	12/19	SMITH MGMT/ALDEN GLOBAL (SMITJPMOR)	029	DNDN	B	659,400	5.32	n/a	n/a	19782.00 0.0
AO,	12/19	PATTEN & PATTEN (PATTSCHWAB)	025	QQQ	B	150	66.51	n/a	n/a	7.50 5.0

TOTAL (AO, CXL, CRT) :	9.30
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TOTAL (Trade Date) :	67,365.43
TOTAL (AO, CXL, CRT) :	9.30

TOTAL (RUN DATE) / NFS :	67,374.73
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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