



Daily Compliance Activity Report

Trade Date: 11/16/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	50	523.19	n/a	n/a	2.50	5.0
KLEINHEINZ CAP PART	031	ANW	S	50,000	4.95	n/a	n/a	2,500.00	0.0
STRONG/WELLS CAP ANN F	047	ANW	B	39,366	4.95	n/a	n/a	1,180.98	0.0
WOOSTER CAPITAL	035	AXL	B	25,000	9.45	n/a	2-Nov	750.00	3.0
CHART WELL ADV	028	CROX	S	177,625	12.02	n/a	n/a	7,105.00	0.0
PATTEN & PATTEN	025	CSCO	B	1,600	17.90	n/a	14-Nov	80.00	5.0
PATTEN & PATTEN	025	CVX	S	375	102.10	n/a	n/a	18.75	5.0
PATTEN & PATTEN	025	DVN	S	190	52.31	n/a	15-Nov	9.50	5.0
MACELLUM CAPITAL	086	ETH	B	5,000	27.81	n/a	n/a	150.00	3.0
MACELLUM CAPITAL	086	ETH	SS	5,000	27.46	n/a	n/a	150.00	3.0
ASCEND PARTNERS	033	FL	S	43,093	33.70	n/a	16-Nov	1,292.79	0.0
LEVIN CAPITAL STRATEGIES	041	FL	S	45,500	32.70	n/a	16-Nov	1,365.00	0.0
MACELLUM CAPITAL	086	FL	SS	11,813	33.43	n/a	16-Nov	354.39	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	18,000	34.01	n/a	16-Nov	540.00	3.0
ADAGE CAPITAL MGMT	030	FNP	B	101,800	11.08	n/a	n/a	3,054.00	3.0
MACELLUM CAPITAL	086	FOSL	B	14,000	82.10	n/a	n/a	420.00	3.0
BNP PARIBAS SEC	040	F	SS	70,000	10.45	n/a	15-Nov	2,100.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	GM	B	40,000	23.82	n/a	15-Nov	1,200.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	GM	B	25,000	23.86		n/a 15-Nov	750.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	C	12,500	23.77	n/a	15-Nov	375.00	0.0
OZ MGMT	040	GM	B	100,000	23.64	n/a	15-Nov	3,000.00	0.0
OZ MGMT	040	GM	S	149,037	23.78	n/a	15-Nov	4,471.11	0.0
PATTEN & PATTEN	025	GOOG	B	50	647.71	n/a	n/a	2.50	5.0
MERRILL ASSET/BLACKROCK	297	GS	S	20,200	115.80	n/a	8-Nov	808.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	HON	B	5,000	59.10		n/a 22-Oct	200.00	4.0
SENATOR INVESTMENT GROUP	036	IP	B	179,065	33.86	n/a	25-Oct	5,371.95	0.0
TUDOR INVESTORS	028	IP	SS	10,000	33.86	n/a	25-Oct	300.00	1.5
DAVIDSON KEMPNER ADVISOR	040	IYR	SS	10,000	61.42	n/a	n/a	300.00	0.0
BRANDWINE	028	JNY	B	18,116	10.79	n/a	25-Oct	724.64	0.0
KLEINHEINZ CAP PART	031	LULU	B	40,000	67.83	n/a	10-Sep	2,000.00	5.0
PATTEN & PATTEN	025	MIC	B	700	40.97	n/a	n/a	35.00	5.0
SCOPUS FUND	041	M	S	50,000	40.06	n/a	8-Nov	2,000.00	4.0
CASTLEROCK	040	PLCE	S	5,000	46.18	n/a	15-Nov	200.00	4.0
CRAMER ROSENTHAL	070	PVH	B	49,700	108.46	n/a	1-Nov	1,988.00	0.0
PATTEN & PATTEN	025	RHT	B	100	48.41	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	RJF	S	33,300	36.81	n/a	n/a	1,332.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	75,000	48.78	n/a	15-Nov	2,250.00	3.0
OMEGA ADVISORS	041	SD	B	872,000	5.25	n/a	n/a	26,160.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SPY	C	22,000	136.33	n/a	n/a	1,100.00	0.0
PATTEN & PATTEN	025	SRZ	S	1,000	14.29	n/a	n/a	50.00	5.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	50,000	33.98	n/a	n/a	1,500.00	0.0
OZ MGMT	040	TGT	B	25,000	62.39	n/a	15-Nov	750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TJX	SS	20,000	42.44	n/a	14-Nov	600.00	3.0
LOMAS CAPITAL	040	ULTA	S	15,500	88.03	n/a	n/a	465.00	3.0
MACELLUM CAPITAL	086	ULTA	B	8,640	87.88	n/a	n/a	259.20	3.0
PATTEN & PATTEN	025	UTX	B	400	75.09	n/a	n/a	20.00	5.0
TUDOR INVESTORS	028	WY	B	5,000	25.08	n/a	16-Nov	150.00	3.0
LOMAS CAPITAL	040	YUM	B	20,000	71.36	n/a	11-Oct	600.00	3.0
TOTAL (Trade Date) :								80,040.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/15	PERIMETER (PERI201)	273	ENDP	B	183	27.33	n/a	16-Nov	7.32	0.0
AO,	11/15	PERIMETER (PERI202)	273	ENDP	B	164	27.33	n/a	16-Nov	6.56	0.0
AO,	11/15	PERIMETER (PERI203)	273	ENDP	B	285	27.33	n/a	16-Nov	11.40	0.0
AO,	11/15	PERIMETER (PERI110)	273	ENDP	B	3,800	27.33	n/a	16-Nov	152.00	0.0
AO,	11/15	COLUMBUS CIRCLE (COLC3050)	036	MM	B	3,328	13.02	n/a	n/a	133.12	0.0
AO,CXL	11/15	METROPOLITAN CAPITAL (METRDEUTSC)	044	PLCE	B	1,000	49.58	n/a	15-Nov	50.00	0.0
AO,	11/15	METROPOLITAN CAPITAL (METRDEUTSC)	044	PLCE	B	1,000	49.48	n/a	15-Nov	50.00	0.0
AO,CXL	11/15	METROPOLITAN CAPITAL (METRGS BUL)	044	PLCE	B	4,700	49.44	n/a	15-Nov	235.00	0.0
AO,	11/15	METROPOLITAN CAPITAL (METRGS BUL)	044	PLCE	B	4,700	49.48	n/a	15-Nov	235.00	0.0
AO,CXL	11/15	METROPOLITAN CAPITAL (METRSPEAR)	044	PLCE	B	900	49.58	n/a	15-Nov	45.00	0.0
AO,	11/15	METROPOLITAN CAPITAL (METRSPEAR)	044	PLCE	B	900	49.48	n/a	15-Nov	45.00	0.0

TOTAL (AO, CXL, CRT) :**310.40**

TOTAL (Trade Date):

80,040.31

TOTAL (AO, CXL, CRT):

310.40

TOTAL (RUN DATE) / NFS:**80,350.71**

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