



Daily Compliance Activity Report

Trade Date: 12/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	S	150	64.74	n/a	n/a	5.25	0.0
NCM CAPITAL MGMT	035	ADT	S	46,285	44.05	n/a	n/a	1,851.40	0.0
CYRUS CAPITAL	025	AIG	B	205,000	33.39	n/a	n/a	6,150.00	3.0
SAC CHICAGO ANDREW	031	ANF	S	20,000	45.55	n/a	15-Nov	700.00	3.5
HARVEST MGMT (JMP)	029	ARO	B	10,000	14.06	n/a	n/a	400.00	4.0
NOMURA/ANGEL LANE PRINCIPAL040		ASH	B	20,000	71.70	n/a	3-Dec	600.00	3.0
BRONSON POINT	036	BIG	SS	25,000	31.57	n/a	4-Dec	750.00	0.0
HARVEST MGMT (JMP)	029	BIG	SS	10,000	30.11	n/a	4-Dec	400.00	4.0
SAC CHICAGO ANDREW	031	BIG	B	13,884	29.85	n/a	4-Dec	485.94	3.5
CENTURION PARTNERS	041	BKW	S	35,000	16.83	n/a	n/a	1,400.00	4.0
PATTEN & PATTEN	025	BP	B	700	40.87	n/a	n/a	35.00	5.0
NCM CAPITAL MGMT	035	BRCM	B	64,400	32.50	n/a	n/a	2,454.00	0.0
TRUST CO OF THE WEST/NY	040	CLF	S	5,200	29.43	n/a	n/a	260.00	0.0
TRUST CO/COWEN/CALF.	040	CLF	S	108,800	29.43	n/a	n/a	5,440.00	0.0
BRONSON POINT	036	CMI	SS	25,000	97.46	n/a	n/a	750.00	0.0
SAFRA ASSET MGMT.	040	CMI	B	5,000	97.69	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	COP	B	10,000	56.66	n/a	n/a	352.00	3.7
PZENA INV ADV	044	C	B	4,100	34.40	n/a	4-Dec	143.50	0.0
MACELLUM CAPITAL	086	DG	SS	8,590	47.92	n/a	4-Dec	257.70	0.0
SAC CHICAGO ANDREW	031	DKS	SS	5,000	51.90	n/a	13-Nov	175.00	3.5
EPOCH INV MGMT	030	DRI	S	110,000	47.37	n/a	26-Nov	3,300.00	0.0
HARVEST MGMT (JMP)	029	EAT	SS	5,000	28.99	n/a	25-Oct	200.00	4.0
PARKWEST	084	EPOC	B	1,700	9.40	n/a	n/a	51.00	3.0
ROTHSCHILD ASSET	040	EPR	B	46,177	45.87	n/a	n/a	1,847.08	0.0
COHE & STEERS	041	EQR	S	4,286	55.14	n/a	n/a	171.44	0.0
ROYCE TRADING	031	FINL	B	2,000	20.44	n/a	28-Sep	100.00	0.0
ROARING BLUE LION MGMT	031	FL	B	4,270	35.50	n/a	16-Nov	170.80	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	14.95	n/a	8-Nov	328.00	3.6
HARVEST MGMT (JMP)	029	FRED	B	10,000	13.19	n/a	n/a	400.00	4.0
ACK ASSET	028	GMT	S	22,247	41.75	n/a	n/a	667.41	0.0
NOMURA/ANGEL LANE PRINCIPAL040		GM	S	55,000	24.97	n/a	4-Dec	1,650.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	GM	B	15,000	25.31	n/a	4-Dec	750.00	5.0
HARVEST MGMT (JMP)	029	GNC	SS	10,000	33.82	n/a	n/a	400.00	4.0
PORTER-ORLIN	044	GNC	B	70,000	34.21	n/a	n/a	2,800.00	4.0
PZENA INV ADV	044	GOOG	S	350	688.03	n/a	n/a	12.25	0.0
HARVEST MGMT (JMP)	029	GPI	B	5,000	61.85	n/a	4-Dec	200.00	4.0
SIMMONS VENTURES	041	GPS	B	10,000	31.00	n/a	n/a	400.00	4.0
LONG POND	029	GRT	S	27,137	10.78	n/a	n/a	1,085.48	4.0
CR INTRINIC INVESTMENT	044	HBI	B	30,000	36.00	n/a	30-Nov	1,050.00	0.0
KLEINHEINZ CAP PART	031	HBI	S	75,000	35.95	n/a	30-Nov	3,750.00	0.0
CHARTER OAK	033	HOLX	B	25,000	18.57	n/a	n/a	1,250.00	5.0
HARVEST MGMT (JMP)	029	HPQ	B	10,000	13.07	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	36.46	n/a	25-Oct	2,500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	10,000	36.38	n/a	25-Oct	300.00	3.0
SYMPHONY ASSET	033	IWM	C	9,710	81.87	n/a	n/a	291.30	0.0
Õ Manny Korman		JPM.PREF	B	600	25.0800	n/a	n/a	0.00	0.0
LATEEF MGMT	035	KR	S	900	26.66	n/a	n/a	100.00	11.3
CENTURION PARTNERS	041	LTD	B	7,000	51.66	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	LUV	S	52,000	9.61	n/a	n/a	2,080.00	0.0
LISTED ERR	099	LUV	B	25,995	9.61	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	MAS	SS	25,000	16.55	n/a	n/a	875.00	3.5
RIVERPARK CAPITAL	025	MNST	S	18,289	51.80	n/a	n/a	914.45	0.0
BNP PARIBAS SEC	040	MOS	SS	10,000	53.01	n/a	n/a	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	30.60	n/a	24-Oct	1,250.00	5.0
BNP PARIBAS SEC	040	OLN	B	20,000	20.94	n/a	n/a	600.00	3.0
PZENA INV ADV	044	OMC	S	2,250	49.28	n/a	n/a	78.76	0.0
SAC CHICAGO ANDREW	031	ORLY	SS	3,585	93.07	n/a	n/a	125.48	3.5
SAC CHICAGO ANDREW	031	PETM	SS	15,000	70.49	n/a	n/a	525.00	3.5
SAC CHICAGO ANDREW	031	RCII	SS	5,000	35.04	n/a	n/a	175.00	3.5
LONG POND	029	SPF	SS	190,000	6.75	n/a	n/a	5,700.00	3.0
J. GOLDMAN	028	TEX	B	40,000	24.21	n/a	n/a	1,600.00	4.0
HARVEST MGMT (JMP)	029	TSCO	SS	10,000	84.56	n/a	n/a	400.00	4.0
NCM CAPITAL MGMT	035	TTEK	S	50,325	25.65	n/a	n/a	2,013.00	0.0
SCOPUS FUND	041	TZOO	B	10,000	18.02	n/a	n/a	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINSIC/CHRIS C	041	UFS	S	24,800	78.28	n/a	n/a	868.00	3.5
HARVEST MGMT (JMP)	029	URBN	S	15,000	36.26	n/a	n/a	600.00	4.0
J. GOLDMAN	028	URI	S	20,000	42.19	n/a	17-Apr	800.00	4.0
RATAN CAPITAL MGMT LP	041	VRX	B	10,000	55.65	n/a	n/a	300.00	3.0
HARVEST MGMT (JMP)	029	WMT	B	10,000	71.64	n/a	15-Nov	400.00	4.0
BRONSON POINT	036	WYN	B	25,000	49.99	n/a	n/a	750.00	0.0
TYEE/TYGH	035	Z	S	93,154	27.21	n/a	n/a	3,726.16	0.0
TOTAL (Trade Date) :								71,695.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/03	WESTFACE CAPITAL (WFACMS)	040	HP	SS	40,000	52.66	n/a	n/a	1200.00 3.0
AO,CXL	12/03	WESTFACE CAPITAL (WFACGMF)	040	HP	SS	40,000	52.66	n/a	n/a	1200.00 3.0
AO,CRT	12/03	WESTFACE CAPITAL (WFACMS)	040	OIH	SS	100,000	38.77	n/a	n/a	3000.00 3.0
AO,CXL	12/03	WESTFACE CAPITAL (WFACGMF)	040	OIH	SS	100,000	38.77	n/a	n/a	3000.00 3.0
AO,CRT	12/03	WESTFACE CAPITAL (WFACMS)	040	PDS	B	200,000	7.48	n/a	n/a	6000.00 3.0
AO,CXL	12/03	WESTFACE CAPITAL (WFACGMF)	040	PDS	B	200,000	7.48	n/a	n/a	6000.00 3.0
AO,	12/03	PENNANT CAP MGMT (PENAJPMORG)	029	PFE	S	400,000	25.22	n/a	n/a	12000.00 0.0
AO,CXL	12/03	PENNANT CAP MGMT (PENAMSPB)	029	PFE	S	400,000	25.22	n/a	n/a	12000.00 0.0
AO,CRT	12/03	WESTFACE CAPITAL (WFACMS)	040	PTEN	SS	115,000	17.70	n/a	n/a	3450.00 3.0
AO,CXL	12/03	WESTFACE CAPITAL (WFACGMF)	040	PTEN	SS	115,000	17.70	n/a	n/a	3450.00 3.0
AO,CXL	12/03	IMPALA ASSET MMT (IMPAUBS)	040	WY	B	799,858	27.64	n/a	30-Nov	31994.32 4.0
AO,CRT	12/03	IMPALA ASSET MMT (IMPABS)	040	WY	B	799,858	27.64	n/a	30-Nov	31994.32 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	71,695.40
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	71,695.40
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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