



Daily Compliance Activity Report

Trade Date: 11/09/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	025	AAP	SS	13,650	78.57	n/a	n/a	682.50	5.0
PHILADELPHIA FINANCIAL	033	ABG	SS	12,327	29.00	n/a	2-Nov	493.08	0.0
BESSEMER INVESTMENT	085	AB	S	1,250	16.06	n/a	n/a	50.00	4.0
BESSEMER INVESTMENT	085	AET	B	950	42.83	n/a	n/a	38.00	4.0
NEWLAND CAPITAL MGT	025	APD	B	30,000	79.90	n/a	9-Nov	1,200.00	4.0
PARAMETER CAPITAL MGMT LLC044		ASH	B	10,000	71.00	n/a	31-Oct	400.00	4.0
DECADE CAPITAL CHRIS C	041	BMS	SS	5,777	33.43	n/a	n/a	231.08	0.0
LOMAS CAPITAL	040	CCL	B	16,000	39.02	n/a	n/a	480.00	3.0
SCOPUS FUND	041	COH	SS	50,000	54.19	n/a	5-Nov	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	COH	SS	25,000	54.10	n/a	5-Nov	875.00	3.5
WOODWAY FINANCIAL	031	CTSH	S	33,035	66.32	n/a	n/a	1,982.10	6.0
KAYNE ANDERSON ADV	084	CVGW	S	4,000	22.46	n/a	n/a	160.00	0.0
PATTEN & PATTEN	025	CVX	S	125	106.52	n/a	n/a	6.25	5.0
PARAMETER CAPITAL MGMT LLC044		DAL	B	74,200	10.24	n/a	31-Oct	2,968.00	4.0
ELM RIDGE ADVISORS	044	DELL	S	150,000	9.50	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	DHI	C	47,471	20.67	n/a	n/a	1,898.84	0.0
PATTEN & PATTEN	025	DLR	B	150	61.56	n/a	n/a	7.50	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	DLTR	B	15,000	37.67	n/a	9-Nov	450.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	DNKN	B	25,000	30.31	n/a	n/a	750.00	3.0
PLATTE RIVER CAPITAL	240	EMC	S	46,030	24.39	n/a	n/a	1,841.20	0.0
DECADE CAPITAL CHRIS C	041	EXPD	B	27,012	37.02	n/a	n/a	1,080.48	0.0
ROYCE TRADING	031	FINL	B	1,000	19.89	n/a	28-Sep	50.00	0.0
EATON VANCE MGMT	029	FLIR	S	50,000	19.39	n/a	n/a	1,500.00	0.0
EATON VANCE MGMT	029	GD	S	90,000	64.82	n/a	8-Nov	2,700.00	0.0
STANDARD PACIFIC CAPITAL	084	GM	B	200,000	25.01	n/a	2-Nov	10,000.00	5.0
COLUMBUS CIRCLE	036	GNC	B	1,923	36.29	n/a	n/a	76.92	0.0
PHILADELPHIA FINANCIAL	033	GPI	SS	5,000	59.13	n/a	2-Nov	200.00	0.0
Õ Michael Ehrlich		HOV	B	650	5.1600	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	29.84	n/a	7-Nov	400.00	4.0
NEW JERSEY DIV OF INV.	030	IBM	S	20,000	190.82	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	IIVI	S	500	16.14	n/a	n/a	20.00	4.0
PATTEN & PATTEN	025	INTC	S	250	21.06	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	IP	B	300	35.58	n/a	25-Oct	15.00	5.0
MARCATO CAPITAL MGMT.	029	JCP	SS	500,000	20.21	n/a	7-Nov	15,000.00	3.0
BESSEMER INVESTMENT	085	JNJ	S	8,320	70.00	n/a	n/a	332.80	0.7
DECADE CAPITAL CHRIS C	041	JOY	S	8,415	57.38	n/a	11-Jul	336.60	0.0
PARAMETER CAPITAL MGMT LLC	044	JOY	B	10,000	57.22	n/a	11-Jul	400.00	4.0
WATERFRONT CAP	028	KBH	S	83,600	15.72	n/a	n/a	3,344.00	0.0
MACELLUM CAPITAL	086	LAD	S	10,380	32.87	n/a	n/a	311.40	3.0
BRIGADE CAPITAL MGMT	029	LCC	S	50,000	12.67	n/a	31-Oct	1,500.00	0.0
BESSEMER INVESTMENT	085	LOW	S	15,780	31.62	n/a	20-Aug	631.20	1.0
BESSEMER INVESTMENT	085	LUV	S	650	9.07	n/a	n/a	26.00	4.0
PNC CAPITAL ADV	028	MSFT	S	55,285	28.94	n/a	n/a	2,211.40	0.0
ARSENAL ASSET MANAGEMENT	028	MWV	B	5,000	29.66	n/a	24-Oct	200.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	NOC	B	2,500	65.60	n/a	9-Nov	100.00	4.0
PATTEN & PATTEN	025	NVS	S	150	60.52	n/a	n/a	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DECADE CAPITAL CHRIS C	041	ODFL	SS	11,803	33.82	n/a	n/a	472.12	0.0
SAGE ASSET MGMT	025	ORLY	B	12,900	89.63	n/a	n/a	645.00	5.0
COHE & STEERS	041	PCL	B	21,800	42.78	n/a	31-Oct	872.00	0.0
BRONSON POINT	036	PHH	B	25,000	20.13	n/a	n/a	750.00	0.0
ROYCE TRADING	031	PLCE	B	400	55.95	n/a	17-Sep	20.00	0.0
MERRILL ASSET/BLACKROCK	297	PRE	B	9,000	80.08	n/a	n/a	360.00	0.0
BALYASNY ASSET MGMT	044	PVH	B	10,000	109.33	n/a	1-Nov	500.00	0.0
DECADE CAPITAL CHRIS C	041	SEE	B	27,715	16.80	n/a	2-Jun	1,108.60	0.0
NEWLAND CAPITAL MGT	025	SPY	SS	20,000	138.67	n/a	n/a	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	4,189	34.89	n/a	n/a	125.67	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	30,000	35.54	n/a	n/a	900.00	0.0
LISTED ERR	099	STZ	B	5,000	35.68	n/a	n/a	0.00	0.0
LISTED ERR	099	STZ	SS	5,000	35.40	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	TGT	B	25,000	61.90	n/a	9-Nov	750.00	0.0
BASSWOOD PARTNERS	267	TOL	C	31,098	32.09	n/a	n/a	1,243.92	0.0
DECADE CAPITAL CHRIS C	041	TWI	S	20,660	19.29	n/a	n/a	826.40	0.0
OHIO PERS	047	T	B	420,000	33.58	n/a	n/a	12,600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	URI	S	12,000	40.91	n/a	17-Apr	600.00	5.0
PARAMETER CAPITAL MGMT LLC044		UTX	B	15,000	76.26	n/a	n/a	600.00	4.0
OHIO PERS	047	VZ	S	330,000	42.75	n/a	n/a	9,900.00	0.0
CAERUS GLOBAL	041	WMT	S	20,000	72.30	n/a	11-Oct	800.00	4.0
COLUMBUS CIRCLE	036	WWW	S	4,217	14.15	n/a	n/a	168.68	0.0
NEWLAND CAPITAL MGT	025	XLY	B	5,000	45.52	n/a	n/a	200.00	4.0
TOTAL (Trade Date) :								98,011.74	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/08	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	ATVI	B	10,000	11.10	n/a	n/a	300.00 3.0
AO,CRT	11/08	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	ATVI	B	10,000	11.10	n/a	n/a	200.00 2.0
AO,	11/08	NOKOMIS PARTNERS (NOKOCONJPM)	031	FIO	SS	1,196	23.07	n/a	n/a	35.88 0.0
AO,	11/08	NOKOMIS PARTNERS (NOKOJPMMER)	031	FIO	SS	8,804	23.07	n/a	n/a	264.12 0.0
AO,CXL	11/08	CHANNING CAPITAL (CHANMARYLA)	031	IGT	S	26,773	12.73	n/a	13-Jun	803.19 3.0
AO,CRT	11/08	CHANNING CAPITAL (CHANMARYLG)	031	IGT	S	26,773	12.73	n/a	13-Jun	803.19 3.0
AO,CXL	11/08	CHANNING CAPITAL (CHANTCHALL)	031	IGT	S	59,321	12.73	n/a	13-Jun	2372.84 4.0
AO,CRT	11/08	CHANNING CAPITAL (CHANTCHALL)	031	IGT	S	59,321	12.73	n/a	13-Jun	1779.63 3.0
AO,CXL	11/08	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	MRGE	B	5,000	3.01	n/a	n/a	150.00 3.0
AO,CRT	11/08	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	MRGE	B	5,000	3.01	n/a	n/a	100.00 2.0
AO,CXL	11/08	M&I FUNDS (MIFD150)	047	MYL	S	33	25.75	n/a	5-Nov	2.97 9.0
AO,CRT	11/08	M&I FUNDS (MIFD150)	047	MYL	S	24	25.75	n/a	5-Nov	0.96 4.0
AO,CXL	11/08	M&I FUNDS (MIFD122)	047	MYL	S	8,800	25.75	n/a	5-Nov	2112.00 24.0
AO,CRT	11/08	M&I FUNDS (MIFD122)	047	MYL	S	8,800	25.75	n/a	5-Nov	352.00 4.0
AO,	11/08	M&I FUNDS (MIFDMAIN)	047	MYL	S	9	25.75	n/a	5-Nov	0.36 0.0

TOTAL (AO, CXL, CRT) :**-2,204.86**

TOTAL (Trade Date) :

98,011.74

TOTAL (AO, CXL, CRT) :

-2,204.86

TOTAL (RUN DATE) / NFS:

95,806.88

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