



Daily Compliance Activity Report

Trade Date: 10/22/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CAVM	S	23,500	31.55	n/a	n/a	940.00	0.0
SIGMA CAPITAL ASSOCIATES	041	COST	B	25,000	95.08	n/a	n/a	875.00	3.5
MERRILL ASSET/BLACKROCK	297	C	B	125,970	37.38	n/a	17-Oct	5,038.80	0.0
COLUMBUS CAP MGMT LLC	084	DVN	SS	40,000	61.09	n/a	11-Oct	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	60,300	30.03	n/a	22-Oct	1,809.00	0.0
ROYCE TRADING	031	FINL	B	4,050	20.78	n/a	28-Sep	202.50	0.0
OZ MGMT	040	F	S	100,000	10.09	n/a	18-Oct	3,000.00	0.0
PECONIC PARTNERS	036	F	B	300,000	10.16	n/a	18-Oct	15,000.00	0.0
CASTLEROCK	040	GILD	SS	21,373	66.30	n/a	n/a	854.92	4.0
THOMPSON SIEGAL&WALMSLEY	029	HMA	S	126,316	7.50	n/a	n/a	3,751.78	0.0
BASSWOOD PARTNERS	267	HOG	B	7,800	43.32	n/a	n/a	312.00	0.0
FIRST NY SEC/CHRIS	041	HTZ	B	25,000	14.27	n/a	n/a	1,250.00	5.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	10,000	83.05	n/a	n/a	400.00	0.0
EMPYREAN CAPITAL	084	IP	S	165,000	37.49	n/a	15-Oct	8,250.00	0.0
EVERGREEN	047	IWS	B	26,068	49.06	n/a	n/a	1,042.72	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	LPX	B	15,000	15.46	n/a	15-Oct	600.00	4.0
SCOPUS FUND	041	LPX	B	49,100	15.52	n/a	15-Oct	1,964.00	4.0
DISIPLINED GROWTH INV.	030	LTD	S	6,000	47.97	n/a	n/a	300.00	0.0
COLUMBUS CAP MGMT LLC	084	MRO	SS	80,000	30.03	n/a	n/a	4,000.00	5.0
TUDOR INVESTORS	028	MW	B	16,900	32.50	n/a	n/a	507.00	3.0
NEUBERGER BERMAN	036	OEH	B	61,900	12.12	n/a	n/a	2,476.00	0.0
SCOPUS FUND	041	OLN	S	21,865	21.59	n/a	n/a	874.60	4.0
JET CAPITAL/CHRIS	041	PLXT	B	116,056	4.36	n/a	n/a	3,481.68	0.0
ARSENAL ASSET MANAGEMENT	028	PPG	B	5,000	117.73	n/a	19-Oct	200.00	0.0
NEUBERGER BERMAN	036	QDEL	S	9,600	17.00	n/a	n/a	384.00	0.0
DISIPLINED GROWTH INV.	030	RCL	S	4,900	32.29	n/a	n/a	245.00	0.0
EVERGREEN	047	R	S	13,800	43.08	n/a	n/a	552.00	0.0
COLUMBUS CIRCLE	036	SIRO	S	1,316	55.08	n/a	n/a	52.64	0.0
M&I FUNDS	047	SWY	S	52,231	16.37	n/a	n/a	2,089.24	4.0
NEUBERGER BERMAN	036	SYNT	B	3,800	61.98	n/a	n/a	152.00	0.0
DISIPLINED GROWTH INV.	030	TJX	S	10,200	42.12	n/a	5-Oct	510.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	TNGO	S	2,030	12.43	n/a	n/a	81.20	0.0
SIGMA CAPITAL ASSOCIATES	041	TPX	B	25,000	33.04	n/a	n/a	875.00	3.5
SENATOR INVESTMENT GROUP	036	VZ	SS	115,000	44.65	n/a	n/a	3,450.00	3.0
WEINTRAUB CAPITAL MGT.	084	WLP	B	30,000	62.80	n/a	n/a	1,200.00	4.0
FORTRESS INVESTMENT (US)	036	XLE	SS	14,000	72.99	n/a	n/a	560.00	0.0
TOTAL (Trade Date):								69,281.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/17	PROSPECTOR PARTNERS LLC (PROSPOPP)	036	TYC	B	2,500	27.89	n/a	3-Oct	100.00 4.0
AO,CXL	10/17	PROSPECTOR PARTNERS LLC (PROSPENSIO)	036	TYC	B	2,500	27.89	n/a	3-Oct	100.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	69,281.08
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	69,281.08
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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