



Daily Compliance Activity Report

Trade Date: 12/03/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	085	AAPL	S	1,650	590.30	n/a	n/a	82.50	0.0
SCOPUS FUND	041	ABG	B	10,000	30.28	n/a	30-Nov	400.00	0.0
BASSWOOD PARTNERS	267	AF	C	93,656	9.40	n/a	18-Oct	3,746.24	0.0
DSM CAPITAL PARTNERS	085	AGN	S	7,700	92.62	n/a	3-Dec	385.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	37,082	4.58	n/a	n/a	1,854.10	5.0
HARVEST MGMT (JMP)	029	ARO	B	30,000	14.06	n/a	n/a	1,200.00	4.0
PORTER-ORLIN	044	AVG	S	15,000	13.74	n/a	n/a	600.00	4.0
ROSEDALE CAPITAL	046	AXL	S	30,000	10.11	n/a	2-Nov	1,200.00	4.0
TUDOR INVESTORS	028	BECN	B	5,000	31.20	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	CELG	S	11,450	79.20	n/a	n/a	572.50	0.0
SENATOR INVESTMENT GROUP	036	COF	B	25,000	57.97	n/a	30-Nov	750.00	3.0
BAIRD INVESTMENT	047	COG	S	25,950	48.32	n/a	3-Dec	1,297.50	0.0
PROSPECTOR PARTNERS LLC	036	COP	B	10,000	57.17	n/a	n/a	400.00	4.0
GEORGE WEISS	034	COST	S	15,000	104.44	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	085	CTSH	S	4,450	67.99	n/a	n/a	222.50	0.0
DSM CAPITAL PARTNERS	085	DG	S	13,000	49.49	n/a	20-Nov	650.00	0.0
DSM CAPITAL PARTNERS	085	DISCA	S	7,400	60.44	n/a	n/a	370.00	0.0
DSM CAPITAL PARTNERS	085	DIS	S	6,150	49.59	n/a	n/a	307.50	0.0
DSM CAPITAL PARTNERS	085	EBAY	S	14,200	52.43	n/a	n/a	710.00	0.0
DSM CAPITAL PARTNERS	085	ECL	S	7,450	71.64	n/a	31-Oct	372.50	0.0
DSM CAPITAL PARTNERS	085	EL	S	1,500	59.54	n/a	13-Nov	75.00	0.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	59,922	28.74	n/a	3-Dec	1,797.66	0.0
ROTHSCHILD ASSET	040	EPR	B	12,500	45.64	n/a	n/a	500.00	0.0
PORTER-ORLIN	044	EXAR	S	10,000	8.38	n/a	n/a	400.00	4.0
DSM CAPITAL PARTNERS	085	FB	S	10,750	28.21	n/a	n/a	430.00	0.0
SUFFOLK CAPITAL MGMT	040	FB	S	88,600	28.75	n/a	n/a	3,544.00	0.0
DSM CAPITAL PARTNERS	085	FDO	S	5,250	70.65	n/a	20-Nov	262.50	0.0
PENNANT CAP MGMT	029	FNF	B	380,000	24.09	n/a	n/a	11,400.00	0.0
MACELLUM CAPITAL	086	GES	SS	15,980	25.63	n/a	29-Nov	479.40	3.0
DSM CAPITAL PARTNERS	085	GE	S	33,350	21.02	n/a	n/a	1,334.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	GIII	S	2,600	39.15	n/a	n/a	104.00	0.0
LATEEF MGMT	035	GLW	S	500	12.14	n/a	27-Nov	50.00	10.0
ACK ASSET	028	GMT	S	2,753	42.01	n/a	n/a	82.59	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	26.12	n/a	3-Dec	300.00	0.0
DSM CAPITAL PARTNERS	085	GOOG	S	950	699.35	n/a	n/a	47.50	0.0
DSM CAPITAL PARTNERS	085	GWW	S	1,500	194.02	n/a	16-Nov	75.00	0.0
WESTFACE CAPTAL	040	HP	SS	40,000	52.66	n/a	n/a	1,200.00	3.0
PORTER-ORLIN	044	IBM	B	800	190.11	n/a	n/a	32.00	4.0
NOKOMIS PARTNERS	031	IDCC	S	20,000	43.59	n/a	n/a	600.00	3.0
DSM CAPITAL PARTNERS	085	ISRG	S	750	527.72	n/a	n/a	37.50	0.0
TUDOR INVESTORS	028	ITW	SS	5,000	61.84	n/a	n/a	150.00	3.0
SUFFOLK CAPITAL MGMT	040	JACK	B	5,000	27.50	n/a	n/a	200.00	0.0
MACELLUM CAPITAL	086	JCP	SS	23,710	17.34	n/a	12-Nov	711.30	3.0
SUFFOLK CAPITAL MGMT	040	JJSF	S	700	64.28	n/a	n/a	28.00	0.0
SUFFOLK CAPITAL MGMT	040	KSS	S	124,500	44.15	n/a	30-Nov	4,980.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	LECO	SS	3,000	46.74	n/a	n/a	90.00	3.0
SUFFOLK CAPITAL MGMT	040	LSCC	B	50,000	3.99	n/a	n/a	1,500.00	0.0
BALYASNY ASSET MGMT	044	LTD	C	10,000	51.51	n/a	n/a	500.00	0.0
DSM CAPITAL PARTNERS	085	LVS	S	12,050	47.55	n/a	13-Jun	602.50	0.0
UNITED STATES PENSION	085	MKC	S	5,435	64.86	n/a	n/a	217.40	4.0
DSM CAPITAL PARTNERS	085	MON	S	9,850	90.89	n/a	8-Oct	492.50	0.0
ARMATURE CAPITAL	041	MWV	B	25,000	30.80	n/a	24-Oct	1,000.00	0.0
HOLLIS CAPITAL	033	M	S	5,000	38.39	n/a	30-Nov	250.00	5.0
WESTFACE CAPITAL	040	OIH	SS	100,000	38.77	n/a	n/a	3,000.00	3.0
LATEEF MGMT	035	OI	B	500	19.53	n/a	n/a	50.00	10.0
SCOPUS FUND	041	PAG	B	10,000	29.13	n/a	5-Nov	400.00	0.0
DSM CAPITAL PARTNERS	085	PCP	S	3,050	182.62	n/a	16-Nov	152.50	0.0
WESTFACE CAPITAL	040	PDS	B	200,000	7.48	n/a	n/a	6,000.00	3.0
PENNANT CAP MGMT	029	PFE	S	400,000	25.22	n/a	n/a	12,000.00	0.0
GEORGE WEISS	034	PLCE	S	11,000	48.78	n/a	27-Nov	330.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	PM	S	3,350	90.22	n/a	n/a	167.50	0.0
IMPALA ASSET MMT	040	PPG	B	189,700	122.33	n/a	14-Nov	9,485.00	5.0
IMPALA ASSET MMT	040	PPG	S	189,700	122.30	n/a	14-Nov	9,485.00	5.0
WESTFACE CAPITAL	040	PTEN	SS	115,000	17.70	n/a	n/a	3,450.00	3.0
SUFFOLK CAPITAL MGMT	040	RDEN	B	1,500	46.54	n/a	9-Nov	60.00	0.0
LATEEF MGMT	035	RDSB	B	250	69.30	n/a	n/a	42.50	17.0
TUDOR INVESTORS	028	RFP	SS	5,000	11.77	n/a	n/a	150.00	3.0
PORTER-ORLIN	044	SAM	B	1,200	112.65	n/a	n/a	48.00	4.0
DSM CAPITAL PARTNERS	085	SBUX	S	9,150	51.87	n/a	3-Dec	457.50	0.0
DSM CAPITAL PARTNERS	085	SHPG	S	3,450	87.28	n/a	3-Dec	172.50	0.0
DSM CAPITAL PARTNERS	085	SLB	S	5,200	71.93	n/a	n/a	260.00	0.0
TUDOR INVESTORS	028	SPW	B	5,000	68.39	n/a	n/a	150.00	3.0
WAGONHOUND/NICOLAS	033	ST	B	9,818	30.32	n/a	n/a	392.72	0.0
LATEEF MGMT	035	TEVA	S	525	40.58	n/a	3-Dec	52.50	10.0
DSM CAPITAL PARTNERS	085	TJX	S	11,450	44.31	n/a	30-Nov	572.50	0.0
TUDOR INVESTORS	028	TRW	S	5,000	51.09	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	085	UNP	S	3,950	122.28	n/a	n/a	197.50	0.0
DSM CAPITAL PARTNERS	085	UN	S	7,150	38.14	n/a	n/a	357.50	0.0
DSM CAPITAL PARTNERS	085	V	S	3,750	149.88	n/a	27-Nov	187.50	0.0
LOMAS CAPITAL	040	WGO	S	26,200	13.83	n/a	n/a	786.00	3.0
TUDOR INVESTORS	028	WNC	SS	5,000	8.15	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	WY	B	799,858	27.64	n/a	30-Nov	31,994.32	4.0
IMPALA ASSET MMT	040	WY	S	799,858	27.63	n/a	30-Nov	31,994.32	4.0
DSM CAPITAL PARTNERS	085	YUM	S	8,000	67.43	n/a	3-Dec	400.00	0.0
TOTAL (Trade Date):								162,288.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/03	HARVEST MGMT (JMP) (HARVGSCO)	029	ARO	B	30,000	14.06	n/a	n/a	1200.00 4.0
AO,CXL	11/30	CASTLEROCK (CASTUBS)	040	IP	B	7,500	37.15	n/a	25-Oct	300.00 0.0
AO,CXL	11/29	M&I FUNDS (MIFD150)	047	MAT	S	515	37.00	n/a	n/a	20.60 0.0
AO,CRT	11/29	M&I FUNDS (MIFD150)	047	MAT	S	343	37.00	n/a	n/a	13.72 4.0
AO,CXL	11/29	M&I FUNDS (MIFDMAIN)	047	MAT	S	343	37.00	n/a	n/a	13.72 0.0
AO,CRT	11/29	M&I FUNDS (MIFDMAIN)	047	MAT	S	515	37.00	n/a	n/a	20.60 4.0
AO,CXL	11/30	UNITED STATES PENSION (USXXUSE)	085	MKC	S	14,160	64.44	n/a	n/a	708.00 5.0
AO,CRT	11/30	UNITED STATES PENSION (USXXUSE)	085	MKC	S	14,160	64.44	n/a	n/a	566.40 4.0

TOTAL (AO, CXL, CRT) :**758.40**

TOTAL (Trade Date) :

162,288.55

TOTAL (AO, CXL, CRT) :

758.40

TOTAL (RUN DATE) / NFS :**163,046.95**

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