



## Daily Compliance Activity Report

Trade Date: 11/29/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ABG	B	30,000	30.05	n/a	15-Nov	900.00	3.0
PZENA INV ADV	044	ALL	S	6,925	40.75	n/a	n/a	242.38	0.0
NEW JERSEY DIV OF INV.	030	ANN	S	10,000	34.16	n/a	n/a	400.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	65,600	4.58	n/a	n/a	3,280.00	0.0
<b>SPARTAN</b>	<b>093</b>	<b>AXL</b>	<b>S</b>	<b>15,000</b>	<b>10.51</b>	<b>n/a</b>	<b>2-Nov</b>	<b>450.00</b>	<b>3.0</b>
HARVEST MGMT (JMP)	029	BBBY	S	10,000	58.62	n/a	n/a	400.00	0.0
DSM CAPITAL PARTNERS	085	CATM	B	3,825	23.00	n/a	n/a	191.25	0.0
PRIMECAP MGMT	084	CAT	S	144,000	86.08	n/a	11-Jul	5,760.00	0.0
PRIMECAP MGMT	084	CHRW	B	5,100	62.24	n/a	n/a	204.00	0.0
WINSLOW CAPITAL	030	COG	S	143,500	47.86	n/a	29-Nov	4,305.00	0.0
ARCHON CAPITAL	035	COH	SS	15,000	59.03	n/a	5-Nov	450.00	0.0
KINGDON ASSET MGMT	041	COST	S	35,000	102.20	n/a	n/a	1,400.00	0.0
CATAPULT	040	DD	SS	18,000	43.53	n/a	29-Nov	720.00	0.0
BRONSON POINT	036	DHR	SS	50,000	53.56	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	033	DVN	B	5,050	53.02	n/a	21-Nov	176.75	0.0
SASCO	033	D	B	41,410	50.50	n/a	n/a	1,449.35	0.0
PRIMECAP MGMT	084	EXPD	S	48,000	37.42	n/a	n/a	1,920.00	0.0
COLUMBUS CIRCLE	036	EXP	S	3,000	54.67	n/a	n/a	120.00	0.0
ROYCE TRADING	031	FINL	B	2,000	20.70	n/a	28-Sep	100.00	0.0
RIDGECREST INV MGMT LLC	028	F	B	15,000	11.46	n/a	15-Nov	600.00	0.0
TUDOR INVESTORS	028	F	B	45,000	11.37	n/a	15-Nov	1,350.00	3.0
KENNEDY CAPITAL	046	GIII	S	27,901	38.31	n/a	n/a	1,116.04	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	5,000	25.69	n/a	15-Nov	150.00	0.0
OZ MGMT	040	GM	S	115,021	25.99	n/a	15-Nov	3,450.63	0.0
<b>SPARTAN</b>	<b>093</b>	<b>GM</b>	<b>B</b>	<b>9,900</b>	<b>25.68</b>	<b>n/a</b>	<b>15-Nov</b>	<b>297.00</b>	<b>3.0</b>
HARVEST MGMT (JMP)	029	GPS	SS	10,000	34.39	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	GVA	S	3,390	29.82	n/a	n/a	135.60	0.0
HARVEST MGMT (JMP)	029	HD	B	15,000	64.23	n/a	16-Nov	600.00	0.0
PRIMECAP MGMT	084	HON	S	55,715	61.46	n/a	22-Oct	2,228.60	0.0
COLUMBUS CIRCLE	036	HTZ	B	9,300	15.82	n/a	n/a	372.00	0.0
LIONEYE CAPITAL	040	HTZ	S	42,500	15.86	n/a	n/a	2,125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
T. ROWE PRICE	033	IP	B	353,300	37.11	n/a	25-Oct	10,599.00	0.0
VISIUM/BALY BOBBY	044	JNJ	SS	100,000	69.40	n/a	n/a	5,000.00	0.0
HARVEST MGMT (JMP)	029	JWN	SS	10,000	54.32	n/a	26-Nov	400.00	0.0
KINGDON ASSET MGMT	041	JWN	SS	40,000	54.51	n/a	26-Nov	1,600.00	0.0
BRIGADE CAPITAL MGMT	029	KSS	B	100,000	45.67	n/a	29-Nov	3,000.00	0.0
BRIGADE CAPITAL MGMT	029	KSS	S	25,000	46.54	n/a	29-Nov	750.00	0.0
COUGAR TRADING	044	KSS	S	5,000	47.06	n/a	29-Nov	250.00	0.0
J. GOLDMAN	028	KSS	B	10,000	46.01	n/a	29-Nov	400.00	0.0
TALPION LLC	040	KSS	B	10,000	46.85	n/a	29-Nov	400.00	0.0
<b>SPARTAN</b>	<b>093</b>	<b>LEA</b>	<b>S</b>	<b>15,000</b>	<b>43.38</b>	<b>n/a</b>	<b>31-Oct</b>	<b>450.00</b>	<b>3.0</b>
M&I FUNDS	047	MAT	S	7,858	37.00	n/a	n/a	314.32	0.0
UNITED STATES PENSION	085	MKC	S	33,400	64.76	n/a	n/a	1,336.00	4.0
LOMAS CAPITAL	040	MRK	S	111,600	44.62	n/a	n/a	3,348.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	25,000	30.65	n/a	24-Oct	1,250.00	0.0
DELTEC ASSET MGMT.	040	M	B	10,000	39.60	n/a	26-Nov	500.00	0.0
KINGDON ASSET MGMT	041	M	B	40,000	39.27	n/a	26-Nov	1,600.00	0.0
SIMMONS VENTURES	041	M	B	7,500	39.41	n/a	26-Nov	300.00	0.0
DAVIDSON KEMPNER ADVISOR	040	NXY	S	50,000	23.95	n/a	n/a	1,500.00	0.0
SASCO	033	OC	B	11,800	34.28	n/a	n/a	413.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	PAG	B	10,000	29.04	n/a	5-Nov	400.00	0.0
SASCO	033	PKG	B	7,950	36.57	n/a	16-Oct	278.25	0.0
CRAMER ROSENTHAL	070	PLL	S	18,550	59.13	n/a	n/a	742.00	0.0
ARSENAL ASSET MANAGEMENT	028	ROK	SS	5,000	78.80	n/a	n/a	200.00	0.0
BRIGADE CAPITAL MGMT	029	SAFM	S	14,000	48.20	n/a	n/a	420.00	0.0
SASCO	033	SEE	B	18,900	16.87	n/a	2-Jun	661.50	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	SS	25,000	62.17	n/a	29-Nov	750.00	3.0
OZ MGMT	040	TGT	S	58,777	61.97	n/a	29-Nov	1,763.31	0.0
<b>TOTAL (Trade Date):</b>								<b>75,418.98</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/21	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	CHS	SS	166,556	18.39	n/a	5-Feb	4996.68 3.0
AO,CXL	11/21	ADAGE CAPITAL MGMT (ADAGCSFB)	030	CHS	SS	166,556	18.39	n/a	5-Feb	4996.68 3.0
AO,	11/28	PERIMETER (PERI201)	273	MASI	S	526	20.18	n/a	n/a	21.04 0.0
AO,	11/28	PERIMETER (PERI202)	273	MASI	S	468	20.18	n/a	n/a	18.72 0.0
AO,	11/28	PERIMETER (PERI203)	273	MASI	S	818	20.18	n/a	n/a	32.72 0.0
AO,	11/28	PERIMETER (PERI110)	273	MASI	S	10,820	20.18	n/a	n/a	432.80 0.0
AO,CXL	11/27	PATTEN & PATTEN (PATTMERR)	025	QQQ	B	100	65.05	n/a	n/a	0.00 0.0
AO,CRT	11/27	PATTEN & PATTEN (PATTMERR)	025	QQQ	B	100	65.05	n/a	n/a	5.00 5.0
AO,	11/28	GLG PARTNERS (GLGPMSAEQA)	034	TGT	B	4,433	62.83	n/a	29-Nov	132.99 0.0
AO,CXL	11/28	GLG PARTNERS (GLGPNAOPF)	034	TGT	B	25,000	62.83	n/a	29-Nov	0.00 0.0
AO,	11/28	GLG PARTNERS (GLGPNAOPF)	034	TGT	B	25,000	62.83	n/a	29-Nov	750.00 0.0
AO,CXL	11/28	GLG PARTNERS (GLGPNAOMAC)	034	TGT	B	2,010	62.83	n/a	29-Nov	0.00 0.0
AO,	11/28	GLG PARTNERS (GLGPNAOMAC)	034	TGT	B	2,010	62.83	n/a	29-Nov	60.30 0.0
AO,CXL	11/28	GLG PARTNERS (GLGPMSAEQA)	034	TGT	B	4,433	62.83	n/a	29-Nov	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,453.57</b>
TOTAL (Trade Date) :										75,418.98
TOTAL (AO, CXL, CRT) :										1,453.57
<b>TOTAL (RUN DATE) / NFS:</b>										<b>76,872.55</b>



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