



## Daily Compliance Activity Report

Trade Date: 11/21/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	10,000	19.15	n/a	2-Dec	500.00	0.0
SCOPUS FUND	041	ALB	SS	40,000	56.38	n/a	n/a	1,600.00	4.0
TUDOR INVESTORS	028	ASH	S	5,000	69.25	n/a	31-Oct	150.00	3.0
LATEEF MGMT	035	BBT	B	175	28.32	n/a	n/a	31.50	18.0
MACELLUM CAPITAL	086	BONT	S	49,031	11.23	n/a	n/a	1,470.93	3.0
ADAGE CAPITAL MGMT	030	CHS	SS	166,556	18.39	n/a	5-Feb	4,996.68	3.0
SANDLER O'NEILL ASSET	031	COF	SS	10,000	58.32	n/a	21-Nov	500.00	5.0
LATEEF MGMT	035	CTB	S	200	23.92	n/a	n/a	30.00	15.0
SANDLER CAPITAL	028	CVD	B	45,000	56.34	n/a	n/a	2,250.00	0.0
TUDOR INVESTORS	028	DAN	S	5,000	13.70	n/a	31-Oct	150.00	3.0
TUDOR INVESTORS	028	DCI	B	5,000	33.19	n/a	n/a	150.00	3.0
LATEEF MGMT	035	DD	S	125	42.54	n/a	23-Oct	31.25	25.0
LATEEF MGMT	035	DOW	B	250	28.91	n/a	24-Oct	32.50	13.0
LATEEF MGMT	035	DVN	B	100	52.78	n/a	21-Nov	30.00	30.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	FMER	B	250	13.67	n/a	n/a	25.00	10.0
LATEEF MGMT	035	GLW	S	250	11.08	n/a	24-Oct	25.00	10.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	29.26	n/a	20-Nov	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	S	5,000	84.00	n/a	n/a	200.00	0.0
HIGHLAND CAPITAL/PYXIS	031	INTC	B	45,700	19.39	n/a	n/a	1,828.00	0.0
LATEEF MGMT	035	JCI	B	175	26.84	n/a	31-Oct	31.50	18.0
PZENA INV ADV	044	JCP	B	4,559	17.00	n/a	12-Nov	159.57	0.0
COPIA CAPITAL	031	LCC	S	25,000	12.43	n/a	21-Nov	875.00	0.0
LIONEYE CAPITAL	040	LCC	B	10,000	12.49	n/a	21-Nov	500.00	5.0
STANDARD PACIFIC CAPITAL	084	LEN	B	120,000	38.53	n/a	n/a	6,000.00	5.0
JP MORGAN VENTURES	046	LTD	B	10,000	48.35	n/a	n/a	400.00	4.0
SCOPUS FUND	041	M	B	50,000	41.08	n/a	8-Nov	2,000.00	4.0
LATEEF MGMT	035	OI	B	150	19.42	n/a	n/a	27.00	18.0
SCOPUS FUND	041	PAG	B	25,000	28.31	n/a	5-Nov	1,000.00	4.0
TUDOR INVESTORS	028	PPG	B	5,000	121.71	n/a	14-Nov	150.00	3.0
OHIO PERS	047	SNDK	B	7,500	39.49	n/a	n/a	225.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	SPLS	S	150	11.86	n/a	n/a	27.00	18.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	16.32	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	TGI	B	5,000	63.95	n/a	n/a	150.00	3.0
OZ MGMT	040	TGT	S	28,755	63.01	n/a	15-Nov	862.65	0.0
WALL STREET CAPITAL	084	TLYS	S	19,100	12.88	n/a	n/a	859.50	4.5
LATEEF MGMT	035	T	B	225	33.76	n/a	n/a	40.50	18.0
COPIA CAPITAL	031	UAL	S	40,000	19.59	n/a	21-Nov	1,400.00	0.0
PZENA INV ADV	044	UBS	S	7,000	15.39	n/a	n/a	245.00	0.0
MACELLUM CAPITAL	086	URBN	S	20,470	37.41	n/a	n/a	614.10	3.0
TUDOR INVESTORS	028	URI	S	5,000	41.22	n/a	17-Apr	150.00	3.0
TUDOR INVESTORS	028	WNC	SS	5,000	8.14	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	X	SS	5,000	21.57	n/a	n/a	150.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>30,817.68</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	150,000	13.22	n/a	n/a	7500.00 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	44,993	13.31	n/a	n/a	2249.65 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	27,100	13.31	n/a	n/a	1355.00 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	36,300	13.31	n/a	n/a	1815.00 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	17,307	12.99	n/a	n/a	865.35 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	10,400	12.99	n/a	n/a	520.00 0.0
AO,	11/20	1798 CAP/LOMBARD ASSET (1798MS)	040	AGO	B	13,900	12.99	n/a	n/a	695.00 0.0
AO,CXL	11/20	GALT INVESTMENT (GALTGS)	041	EXPR	S	25,000	11.55	n/a	n/a	1250.00 5.0
AO,CRT	11/20	GALT INVESTMENT (GALTGS)	041	EXPR	S	25,000	11.55	n/a	n/a	1000.00 4.0
AO,CXL	11/20	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	GM	S	25,000	24.62	n/a	15-Nov	1000.00 4.0	
AO,CRT	11/20	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	GM	S	25,000	24.62	n/a	15-Nov	750.00 3.0	
AO,CXL	11/20	FINDLAY PARK PART (FINDAMERS)	085	JCI	S	300,000	26.13	n/a	31-Oct	15000.00 5.0
AO,CRT	11/20	FINDLAY PARK PART (FINDAMERS)	085	JCI	S	300,000	26.13	n/a	31-Oct	11756.84 0.0
AO,CXL	11/20	FINDLAY PARK PART (FINDRITAC)	085	JCI	S	4,000	26.13	n/a	31-Oct	200.00 5.0
AO,CRT	11/20	FINDLAY PARK PART (FINDRITAC)	085	JCI	S	4,000	26.13	n/a	31-Oct	156.76 0.0
AO,CRT	11/16	CASTLEROCK (CASTMERRIL)	040	PLCE	S	500	46.18	n/a	15-Nov	20.00 4.0
AO,CXL	11/16	CASTLEROCK (CASTUBS)	040	PLCE	S	500	46.18	n/a	15-Nov	20.00 4.0
TOTAL (AO, CXL, CRT) :										-3,786.40

TOTAL (Trade Date) :

30,817.68

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-3,786.40

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**TOTAL (RUN DATE) / NFS:**

**27,031.28**

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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