



Daily Compliance Activity Report

Trade Date: 10/24/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	AAWW	S	2,500	52.63	n/a	n/a	75.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	AHL	S	4,200	31.81	n/a	n/a	126.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	AIRM	S	1,500	108.38	n/a	n/a	45.00	0.0
MERRILL ASSET/BLACKROCK	297	AKR	S	7,500	25.68	n/a	n/a	300.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	ANDE	S	2,600	35.63	n/a	n/a	78.00	0.0
LATEEF MGMT	035	AREPRE	S	350	26.73	n/a	n/a	35.00	10.0
DC CAPITAL	044	ATI	B	100,000	27.95	n/a	18-Oct	4,000.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	AVD	S	2,900	35.39	n/a	n/a	87.00	0.0
CHANNING CAPITAL	031	AXE	B	13,450	56.43	n/a	24-Oct	522.31	3.9
MILLRACE FUND LP	028	AXL	B	10,000	11.61	n/a	18-Oct	400.00	0.0
VERITION	028	AXL	B	5,000	11.44	n/a	18-Oct	150.00	3.0
BALYASNY ASSET MGMT	044	BJRI	SS	15,000	38.20	n/a	n/a	750.00	0.0
ROSEDALE CAPITAL	046	BWA	SS	5,000	64.43	n/a	18-Oct	250.00	5.0
Ñ Nilsa Vazquez		BWLD	B	100	73.1400	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	BWLD	B	8,000	75.66	n/a	n/a	400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WATERFRONT CAP	028	BYD	B	92,358	6.13	n/a	n/a	3,694.32	0.0
NEUBERGER BERMAN	036	BYI	B	37,800	47.47	n/a	n/a	1,512.00	0.0
LATEEF MGMT	035	CBL	S	250	22.03	n/a	n/a	30.00	12.0
THOMPSON SIEGAL&WALMSLEY	029	CHCO	S	2,500	34.16	n/a	n/a	75.00	0.0
PROSPECTOR PARTNERS LLC	036	CIT	B	10,000	37.49	n/a	23-Oct	403.00	4.1
THOMPSON SIEGAL&WALMSLEY	029	CNW	S	4,800	28.31	n/a	n/a	144.00	0.0
M&I FUNDS	047	COH	B	10,242	57.17	n/a	24-Oct	409.68	4.0
TROUBH PART	070	COH	B	10,000	57.33	n/a	24-Oct	500.00	5.0
LIONEYE CAPITAL	040	CPWR	B	50,000	8.88	n/a	n/a	2,500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	CRI	B	40,000	52.90	n/a	n/a	1,200.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	CSH	S	3,500	37.37	n/a	n/a	105.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	CSTR	S	3,000	44.15	n/a	n/a	90.00	0.0
BTG PACTUAL	040	DG	S	10,000	47.12	n/a	5-Sep	300.00	3.0
BTG PACTUAL	040	DRI	B	5,000	52.27	n/a	4-Oct	150.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	DXPE	S	2,900	47.10	n/a	n/a	87.00	0.0
LATEEF MGMT	035	ENR	B	400	70.54	n/a	22-Oct	60.00	15.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ENR	B	10,000	70.35	n/a	22-Oct	403.00	4.1
THOMPSON SIEGAL&WALMSLEY	029	EXXI	S	4,100	32.52	n/a	n/a	123.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	FCFS	S	3,900	44.35	n/a	n/a	117.00	0.0
BAIRD INVESTMENT	047	FLR	B	25,450	55.54	n/a	n/a	1,272.50	0.0
OZ MGMT	040	F	C	100,000	10.27	n/a	18-Oct	3,000.00	0.0
STANDARD PACIFIC CAPITAL	084	F	B	250,000	10.27	n/a	18-Oct	12,500.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	GES	B	29,600	24.55	n/a	18-Oct	947.22	0.0
THOMPSON SIEGAL&WALMSLEY	029	GIII	S	2,400	36.74	n/a	n/a	72.00	0.0
CASTLEROCK	040	GLW	B	53,466	12.09	n/a	24-Oct	2,138.64	4.0
MAIRS AND POWER INV	030	GLW	B	25,000	11.99	n/a	24-Oct	1,250.00	5.0
OSKIE CAPITAL MGMT	224	GM	B	25,000	23.99	n/a	18-Oct	1,250.00	5.0
KLEINHEINZ CAP PART	031	HBI	B	50,000	32.39	n/a	24-Oct	2,500.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	IBKC	S	4,700	49.19	n/a	n/a	141.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ICON	B	25,000	18.84	n/a	n/a	875.00	3.5
DAVIDSON KEMPNER ADVISOR	040	IPG	S	50,000	10.90	n/a	n/a	2,500.00	0.0
EMPYREAN CAPITAL	084	IP	S	150,000	36.64	n/a	15-Oct	7,500.00	0.0
T. ROWE PRICE	033	IP	S	36,900	36.47	n/a	15-Oct	1,476.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INTERVAL PARTNERS	033	JNY	C	35,000	12.23	n/a	18-Oct	1,050.00	0.0
MATRIX ASSET ADV.	091	JPM	S	1,500	41.50	n/a	12-Oct	60.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KMB	SS	25,000	86.00	n/a	24-Oct	875.00	3.5
LEVIN CAPITAL STRATEGIES	041	KSS	B	143,367	51.46	n/a	17-Oct	4,301.01	0.0
LATEEF MGMT	035	K	B	1,000	51.79	n/a	n/a	100.00	10.0
TRELLUS PARTNERS LP	028	LEA	B	16,000	40.62	n/a	18-Oct	480.00	0.0
VERITION	028	LEA	B	5,000	40.73	n/a	18-Oct	150.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	LHO	S	4,700	24.49	n/a	n/a	141.00	0.0
SCOPUS FUND	041	LPX	B	50,000	15.65	n/a	15-Oct	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	MHK	B	10,000	81.80	n/a	n/a	400.00	0.0
BALYASNY ASSET MGMT	044	M	B	20,000	38.90	n/a	5-Oct	1,000.00	0.0
NEUBERGER BERMAN	036	NFX	S	1,420,131	27.85	n/a	n/a	56,805.24	0.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.63	n/a	n/a	800.00	4.0
LATEEF MGMT	035	OI	S	350	19.56	n/a	n/a	35.00	10.0
T. ROWE PRICE	033	OI	S	73,500	19.43	n/a	n/a	2,940.00	0.0
BRONSON POINT	036	ORLY	SS	15,000	81.99	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	PX	SS	10,000	103.80	n/a	24-Oct	400.00	0.0
COOPER CREEK PART	028	RKT	S	200	73.51	n/a	15-Oct	8.00	4.0
BTG PACTUAL	040	SBUX	B	5,000	45.38	n/a	4-Oct	150.00	3.0
MATRIX ASSET ADV.	091	SLB	B	1,500	70.78	n/a	n/a	60.00	4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	C	14,100	141.48	n/a	n/a	705.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	SUSS	S	11,818	34.33	n/a	n/a	354.54	0.0
SUFFOLK CAPITAL MGMT	040	SWK	B	19,600	70.36	n/a	n/a	784.00	0.0
WESTFACE CAPTAL	040	SWY	B	200,000	16.15	n/a	n/a	6,000.00	0.0
OSKIE CAPITAL MGMT	224	SXC	B	16,979	16.00	n/a	n/a	848.95	5.0
LOMAS CAPITAL	040	SYU	SS	121,500	30.34	n/a	n/a	3,645.00	3.0
SIGMA CAPITAL ASSOCIATES	041	SYU	SS	50,000	30.36	n/a	n/a	1,750.00	3.5
NEW JERSEY DIV OF INV.	030	TE	S	100,000	17.53	n/a	n/a	4,000.00	0.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	17.52	n/a	n/a	404.00	4.1
NEW JERSEY DIV OF INV.	030	TITN	S	20,000	21.09	n/a	n/a	600.00	3.0
GEORGE WEISS	034	TJX	B	33,000	42.34	n/a	5-Oct	1,320.00	0.0
Ñ Nilsa Vazquez		TRN	B	400	32.1000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	UA	S	5,000	57.04	n/a	18-Sep	150.00	3.0
LATEEF MGMT	035	UN	S	200	35.81	n/a	n/a	34.00	17.0
T. ROWE PRICE	033	WY	S	54,200	27.66	n/a	15-Oct	2,168.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	36,900	70.25	n/a	11-Oct	1,476.00	0.0
TOTAL (Trade Date) :							152,988.41		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/23	STELLIAM INV ADV (STLLGSBULK)	034	AMAT	B	21,739	10.83	n/a	n/a	869.56 0.0
AO,	10/23	STELLIAM INV ADV (STLLMSEXEC)	034	AMAT	B	21,739	10.83	n/a	n/a	869.56 0.0
AO,CXL	10/23	PALESTRA (PALECS)	040	SIX	S	38,000	62.55	n/a	n/a	1900.00 5.0
AO,CRT	10/23	PALESTRA (PALECS)	040	SIX	S	22,100	62.55	n/a	n/a	1105.00 5.0
AO,	10/23	PALESTRA (PALEGS)	040	SIX	S	15,900	62.55	n/a	n/a	795.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	152,988.41
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	152,988.41
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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