



Daily Compliance Activity Report

Trade Date: 12/12/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION PARTNERS	041	AIG	S	15,000	35.14	n/a	n/a	600.00	4.0
FARALLON CAP MGMT	040	AOS	SS	3,250	62.26	n/a	18-Oct	130.00	4.0
FRONTIER	029	APH	B	46,148	62.84	n/a	n/a	1,845.92	0.0
DC CAPITAL	044	ATI	S	200,000	28.10	n/a	11-Dec	8,000.00	0.0
UBS OCONNOR	031	BBT	S	35,000	29.06	n/a	n/a	1,050.00	0.0
J. GOLDMAN	028	BKW	SS	30,000	17.41	n/a	n/a	1,200.00	4.0
LOCUST WOOD CAPITAL MGMT	044	BKW	S	38,700	17.57	n/a	n/a	1,548.00	4.0
PARAMETER CAPITAL MGMT LLC	044	BK	SS	30,000	24.86	n/a	5-Dec	1,200.00	4.0
LATEEF MGMT	035	BLL	S	200	44.58	n/a	n/a	36.00	18.0
TIDE POINT CAPITAL	034	CAT	B	6,000	88.52	n/a	11-Jul	180.00	0.0
MACELLUM CAPITAL	086	CHS	B	61,500	18.10	n/a	5-Feb	1,845.00	3.0
OHIO PERS	047	CIEN	S	29,740	15.40	n/a	n/a	892.20	0.0
PARAMETER CAPITAL MGMT LLC	044	CME	SS	10,000	53.14	n/a	28-Apr	400.00	4.0
STANDARD PACIFIC CAPITAL	084	CMI	B	43,600	106.70	n/a	n/a	2,180.00	5.0
FARALLON CAP MGMT	040	COL	B	13,400	57.44	n/a	11-Dec	536.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	CRI	S	6,000	52.53	n/a	n/a	240.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CSCO	S	87,400	19.85	n/a	7-Dec	2,796.80	0.0
PARKWEST	084	CSTR	S	40,000	53.40	n/a	n/a	1,600.00	4.0
PARAMETER CAPITAL MGMT LLC044		DFS	B	30,000	41.03	n/a	12-Dec	1,200.00	4.0
FARALLON CAP MGMT	040	DG	B	15,500	43.49	n/a	12-Dec	620.00	4.0
TALPION LLC	040	DG	B	200	42.50	n/a	12-Dec	8.00	0.0
OHIO PERS	047	EFX	B	8,800	53.98	n/a	n/a	264.00	0.0
LOMAS CAPITAL	040	EXP	B	45,000	55.29	n/a	n/a	1,350.00	3.0
PLATTE RIVER CAPITAL	240	FCX	B	5,050	32.15	n/a	n/a	202.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	15.73	n/a	8-Nov	400.00	4.0
STANDARD PACIFIC CAPITAL	084	F	S	177,902	11.53	n/a	4-Dec	8,895.10	5.0
RAINIER INV MGMT	035	GCO	S	30,310	52.58	n/a	n/a	1,212.40	0.0
CENTURION PARTNERS	041	GGP	S	13,670	19.83	n/a	n/a	546.80	4.0
BNP PARIBAS SEC	040	GM	B	20,000	25.59	n/a	12-Dec	600.00	3.0
J. GOLDMAN	028	GM	S	85,000	25.73	n/a	12-Dec	3,400.00	4.0
PATRIOT STRATEGY PARTNERS	036	GM	B	15,000	25.69	n/a	12-Dec	600.00	4.0
PHILADELPHIA FINANCIAL	033	GM	B	100,000	25.59	n/a	12-Dec	4,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TIDE POINT CAPITAL	034	GM	B	15,000	25.68	n/a	12-Dec	450.00	0.0
SYSTEMATIC FINANCIAL MGT	035	GNC	B	275,000	33.77	n/a	n/a	8,250.00	0.0
PARAMETER CAPITAL MGMT LLC044		HIG	B	50,000	22.21	n/a	n/a	2,000.00	4.0
TIDE POINT CAPITAL	034	HON	S	12,000	61.71	n/a	12-Dec	360.00	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	31.99	n/a	10-Dec	400.00	4.0
BRANDWINE	028	HTZ	B	60,450	16.03	n/a	n/a	2,418.00	0.0
DELTEC ASSET MGMT.	040	IP	B	10,000	37.59	n/a	11-Dec	500.00	5.0
HEIGHTS CAPITAL	251	IR	B	28,174	47.80	n/a	11-Dec	1,126.96	0.0
HEIGHTS CAPITAL	251	ITT	SS	67,952	22.59	n/a	n/a	2,718.08	0.0
PARAMETER CAPITAL MGMT LLC044		JPM	S	60,000	43.25	n/a	4-Dec	2,400.00	4.0
CENTURION PARTNERS	041	LUK	S	10,000	23.47	n/a	n/a	400.00	4.0
RIDGECREST INV MGMT LLC	028	LULU	SS	7,500	74.28	n/a	6-Dec	300.00	4.0
OHIO PERS	047	MTB	S	4,835	98.50	n/a	n/a	145.05	0.0
PARAMETER CAPITAL MGMT LLC044		NDAQ	B	20,000	24.02	n/a	n/a	800.00	4.0
WAGONHOUND/NICOLAS	033	NXPI	B	5,981	25.21	n/a	n/a	239.24	0.0
PARAMETER CAPITAL MGMT LLC044		NYX	SS	20,000	23.36	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	ORCL	S	4,000	31.86	n/a	n/a	160.00	4.0
MACELLUM CAPITAL	086	ORLY	B	23,870	92.79	n/a	n/a	716.10	3.0
TALPION LLC	040	PBY	B	8,000	9.74	n/a	n/a	240.00	0.0
PARAMETER CAPITAL MGMT LLC044		PNC	B	15,000	56.92	n/a	n/a	600.00	4.0
WOODWAY FINANCIAL	031	PRGO	B	23,877	105.17	n/a	10-Dec	1,432.62	6.0
PARAMETER CAPITAL MGMT LLC044		PRU	B	10,000	53.13	n/a	n/a	400.00	4.0
PLATTE RIVER CAPITAL	240	SPLK	B	8,000	27.56	n/a	n/a	320.00	0.0
PARAMETER CAPITAL MGMT LLC044		TCB	S	10,000	11.77	n/a	n/a	400.00	4.0
JET CAPITAL/CHRIS	041	TIE	S	100,000	16.42	n/a	n/a	3,000.00	0.0
CENTURION PARTNERS	041	URI	B	10,000	43.65	n/a	17-Apr	400.00	4.0
PARAMETER CAPITAL MGMT LLC044		USB	SS	60,000	32.03	n/a	n/a	2,400.00	4.0
CENTURION PARTNERS	041	VGR	S	10,000	15.35	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	WFM	B	15,000	90.48	n/a	n/a	450.00	3.0
NOMURA/ANGEL LANE PRINCIPAL040		WHR	B	10,000	100.53	n/a	n/a	300.00	3.0
CENTURION PARTNERS	041	XOM	B	5,000	89.78	n/a	n/a	200.00	4.0

TOTAL (Trade Date):

84,304.27

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/10	PATTEN & PATTEN (PATTBERSHI)	025	QQQ	B	800	65.12	n/a	n/a	0.00	0.0
AO,CRT	12/10	PATTEN & PATTEN (PATTBERSHI)	025	QQQ	B	800	65.12	n/a	n/a	40.00	5.0

TOTAL (AO, CXL, CRT) :	40.00
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TOTAL (Trade Date) :	84,304.27
TOTAL (AO, CXL, CRT) :	40.00

TOTAL (RUN DATE) / NFS:	84,344.27
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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