



Daily Compliance Activity Report

Trade Date: 12/11/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VERITION	028	AGCO	S	2,500	48.10	n/a	n/a	75.00	3.0
HOLLIS CAPITAL	033	ALR	S	5,000	19.05	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	AOS	SS	3,250	62.03	n/a	18-Oct	130.00	0.0
FRONTIER	029	APH	B	48,800	62.77	n/a	n/a	1,952.00	0.0
DC CAPITAL	044	ATI	S	300,000	28.24	n/a	11-Dec	12,000.00	4.0
J. GOLDMAN	028	BKW	SS	55,000	17.69	n/a	n/a	2,200.00	4.0
TIDE POINT CAPITAL	034	BTU	B	10,000	27.37	n/a	n/a	300.00	0.0
STANDARD PACIFIC CAPITAL	084	CMI	B	135,800	105.89	n/a	n/a	6,790.00	5.0
FARALLON CAP MGMT	040	COL	B	14,177	57.06	n/a	11-Dec	567.08	0.0
PNC CAPITAL ADV	028	CVX	S	19,399	107.81	n/a	n/a	775.96	0.0
BTG PACTUAL	040	DAL	S	10,000	10.38	n/a	11-Dec	300.00	3.0
PAR CAPITAL 1/26/04	268	DAL	S	100,000	10.85	n/a	11-Dec	4,000.00	0.0
BAIRD INVESTMENT	047	DG	S	33,600	43.41	n/a	4-Dec	1,680.00	0.0
FARALLON CAP MGMT	040	DG	B	400,000	43.74	n/a	4-Dec	16,000.00	0.0
PZENA INV ADV	044	DV	S	14,275	26.24	n/a	n/a	499.63	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
G WEISS /IAN	034	ESRX	S	15,000	54.79	n/a	n/a	450.00	0.0
BRONSON POINT	036	FCX	B	50,000	31.95	n/a	n/a	1,500.00	0.0
MACELLUM CAPITAL	086	FDO	B	21,140	64.89	n/a	20-Nov	634.20	0.0
MACELLUM CAPITAL	086	FDO	SS	22,789	69.58	n/a	20-Nov	683.67	0.0
TIDE POINT CAPITAL	034	FDX	B	5,000	90.89	n/a	n/a	150.00	0.0
JP MORGAN VENTURES	046	FL	B	18,000	35.11	n/a	16-Nov	720.00	4.0
MACELLUM CAPITAL	086	FRAN	B	20,310	23.19	n/a	n/a	609.30	0.0
RAINIER INV MGMT	035	GCO	S	38,000	53.08	n/a	n/a	1,520.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		GE	B	95,000	21.56	n/a	n/a	2,850.00	3.0
TIDE POINT CAPITAL	034	GM	S	15,000	25.30	n/a	4-Dec	450.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		IP	B	20,000	36.66	n/a	11-Dec	600.00	3.0
Õ Manny Korman		JPM.D	B	300	25.0800	n/a	n/a	0.00	0.0
BTG PACTUAL	040	LCC	S	25,000	13.07	n/a	11-Dec	750.00	3.0
OSKIE CAPITAL MGMT	224	LEA	B	20,000	45.84	n/a	7-Dec	1,000.00	5.0
TIDE POINT CAPITAL	034	LEA	S	4,200	45.62	n/a	7-Dec	126.00	0.0
MACELLUM CAPITAL	086	MOV	B	17,540	31.59	n/a	n/a	526.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MUNI	S	600	55.16	n/a	n/a	30.00	5.0
CHARTER OAK	033	MYL	S	25,000	27.84	n/a	10-Dec	1,250.00	5.0
PNC CAPITAL ADV	028	NOV	S	30,953	67.95	n/a	n/a	1,238.12	0.0
HALCYON LLC	041	NXY	B	50,000	26.90	n/a	n/a	1,500.00	0.0
DAVIDSON KEMPNER ADVISOR	040	PCS	B	30,000	10.09	n/a	n/a	900.00	0.0
TIDE POINT CAPITAL	034	PH	SS	10,000	83.26	n/a	n/a	300.00	0.0
WOODWAY FINANCIAL	031	PRGO	B	9,688	104.98	n/a	10-Dec	581.28	6.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PSX	S	38,078	53.00	n/a	n/a	1,218.49	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	RKT	B	20,000	67.42	n/a	11-Dec	600.00	3.0
ACK ASSET	028	RS	B	30,000	57.97	n/a	n/a	900.00	0.0
TIDE POINT CAPITAL	034	TOL	B	5,000	30.73	n/a	n/a	150.00	0.0
PAR CAPITAL 1/26/04	268	UAL	C	25,000	21.47	n/a	11-Dec	1,000.00	0.0
JP MORGAN VENTURES	046	URBN	S	20,000	39.29	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								70,556.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/06	ACK ASSET (ACKAMS)	028	CIR	B	7,914	35.56	n/a	n/a	237.42	0.0
AO,CXL	12/06	ACK ASSET (ACKABEARPB)	028	CIR	B	19,406	35.56	n/a	n/a	582.18	0.0
AO,	12/06	ACK ASSET (ACKABEARPB)	028	CIR	B	11,492	35.56	n/a	n/a	344.76	0.0
AO,	12/10	PATTEN & PATTEN (PATTBERSHI)	025	QQQ	B	800	65.12	n/a	n/a	0.00	0.0
AO,	12/06	ACK ASSET (ACKAMS)	028	ST	B	20,511	30.84	n/a	n/a	615.33	0.0
AO,CXL	12/06	ACK ASSET (ACKABEARPB)	028	ST	B	50,000	30.84	n/a	n/a	1500.00	0.0
AO,	12/06	ACK ASSET (ACKABEARPB)	028	ST	B	29,489	30.84	n/a	n/a	884.67	0.0
AO,	12/10	COLUMBUS CIRCLE (COLC5000)	036	TSCO	S	1,661	85.63	n/a	n/a	66.44	0.0
AO,	12/07	ACK ASSET (ACKAMS)	028	TWI	S	6,152	20.85	n/a	n/a	184.56	0.0
AO,CXL	12/07	ACK ASSET (ACKABEARPB)	028	TWI	S	15,000	20.85	n/a	n/a	450.00	0.0
AO,	12/07	ACK ASSET (ACKABEARPB)	028	TWI	S	8,848	20.85	n/a	n/a	265.44	0.0

TOTAL (AO, CXL, CRT) :**66.44**

TOTAL (Trade Date) :

70,556.93

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66.44

TOTAL (RUN DATE) / NFS:**70,623.37**

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