



Daily Compliance Activity Report

Trade Date: 10/17/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ACK ASSET	028	AXL	B	50,400	12.17	n/a	3-Oct	1,512.00	0.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	60,000	12.06	n/a	3-Oct	2,400.00	0.0
BASSWOOD PARTNERS	267	AXP	C	2,900	59.28	n/a	17-Oct	116.00	0.0
PERIMETER	273	AZZ	B	2,730	36.56	n/a	n/a	109.20	0.0
DC CAPITAL	044	BC	S	10,000	24.13	n/a	n/a	400.00	4.0
BASSWOOD PARTNERS	267	BK	B	7,100	24.41	n/a	17-Oct	284.00	0.0
RAINIER INV MGMT	035	CRZO	B	34,630	26.75	n/a	n/a	1,385.20	0.0
OSKIE CAPITAL MGMT	224	C	S	20,000	38.04	n/a	17-Oct	1,000.00	5.0
J. GOLDMAN	028	DG	S	10,000	48.50	n/a	5-Sep	400.00	4.0
BASSWOOD PARTNERS	267	DOV	B	7,400	57.07	n/a	n/a	296.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPS	B	50,000	44.74	n/a	n/a	1,750.00	3.5
BNP PARIBAS SEC	040	EXPR	B	50,000	11.73	n/a	n/a	1,500.00	3.0
ROYCE TRADING	031	FINL	B	18,000	20.91	n/a	28-Sep	900.00	0.0
RAINIER INV MGMT	035	FIO	B	36,990	29.94	n/a	n/a	1,479.60	0.0
CAISSE DEPOT PLACEMENT Q	257	FTNT	B	20,000	19.98	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAISSE DEPOT PLACEMENT Q	257	GWW	SS	25,000	209.99	n/a	16-Oct	1,250.00	5.0
OSKIE CAPITAL MGMT	224	HAS	SS	10,000	38.61	n/a	n/a	500.00	5.0
ARSENAL ASSET MANAGEMENT	028	HUBB	S	10,000	84.82	n/a	n/a	400.00	0.0
MILLENNIUM-NEW VERNON	031	INTC	S	49,500	21.64	n/a	n/a	2,970.00	6.0
CAISSE DEPOT PLACEMENT Q	257	INTU	SS	10,000	61.17	n/a	n/a	300.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	INT	B	10,000	34.83	n/a	n/a	300.00	3.0
ARMATURE CAPITAL	041	IP	S	60,000	37.48	n/a	15-Oct	2,400.00	0.0
EVERGREEN	047	IWS	B	48,437	49.84	n/a	n/a	1,937.48	0.0
OSKIE CAPITAL MGMT	224	JPM	S	20,000	43.30	n/a	12-Oct	1,000.00	5.0
CAERUS GLOBAL	041	KSS	S	5,000	53.00	n/a	17-Oct	200.00	4.0
CAISSE DEPOT PLACEMENT Q	257	LLTC	SS	20,000	32.59	n/a	n/a	600.00	3.0
Õ Abram Chappel		LMIA	S	280	20.1900	n/a	n/a	0.00	0.0
CORVEX CAPITAL	041	LNG	B	225,000	15.92	n/a	n/a	6,750.00	0.0
SCOPUS FUND	041	LPX	B	25,000	15.47	n/a	15-Oct	1,000.00	4.0
J. GOLDMAN	028	LTD	B	10,000	48.57	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	LULU	B	20,000	76.11	n/a	10-Sep	1,000.00	5.0
OSKIE CAPITAL MGMT	224	MCD	SS	10,000	93.89	n/a	12-Oct	500.00	5.0
TUDOR INVESTORS	028	MCD	SS	75,000	93.49	n/a	12-Oct	2,250.00	3.0
LATEEF MGMT	035	MMM	S	500	94.82	n/a	1-Oct	60.00	12.0
M&I FUNDS	047	NLSN	S	6,024	31.86	n/a	n/a	240.96	4.0
PARKWEST	084	PAY	SS	40,000	31.89	n/a	n/a	1,600.00	4.0
CATAPULT	040	PENN	S	11,500	41.43	n/a	n/a	460.00	0.0
OTTER CREEK MGMT	093	RTK	S	29,783	2.56	n/a	n/a	744.58	2.5
WATERFRONT CAP	028	SNA	B	35,000	74.06	n/a	n/a	1,400.00	0.0
SCOPUS FUND	041	SUSS	B	10,000	35.99	n/a	n/a	400.00	4.0
CATAPULT CAP/DEFRANCO	040	TEX	B	8,001	24.53	n/a	n/a	320.04	0.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	50,000	43.26	n/a	5-Oct	1,750.00	3.5
PROSPECTOR PARTNERS LLC	036	TYC	B	7,400	27.89	n/a	3-Oct	296.00	4.0
CAISSE DEPOT PLACEMENT Q	257	VMI	B	10,000	132.18	n/a	n/a	500.00	5.0
LISTED ERR	099	VMI	B	3,700	132.56	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	V	S	10,500	141.14	n/a	16-Oct	420.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	WCC	B	6,900	57.38	n/a	n/a	276.00	0.0
LOMAS CAPITAL	040	WGO	B	46,200	12.74	n/a	n/a	1,386.00	3.0
SCOPUS FUND	041	WY	B	30,411	28.00	n/a	15-Oct	1,216.44	4.0
CR INTRINSIC/CHRIS C	041	XLI	B	15,000	37.23	n/a	n/a	525.00	3.5
CATAPULT CAP/DEFRANCO	040	XLS	S	18,598	10.97	n/a	n/a	743.92	0.0
NOKOMIS PARTNERS	031	ZBRA	SS	18,000	36.65	n/a	n/a	540.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	800	27.25	n/a	n/a	24.00	3.0
TOTAL (Trade Date) :								51,192.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/17	OSKIE CAPITAL MGMT (OSKIGSPB)	224	C	S	20,000	38.04	n/a	17-Oct	1000.00 5.0
CRT	10/17	OSKIE CAPITAL MGMT (OSKIGSPB)	224	JPM	S	20,000	43.30	n/a	12-Oct	1000.00 5.0
AO,CXL	10/16	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	RFMD	B	50,000	3.62	n/a	n/a	2500.00 5.0
AO,CRT	10/16	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	RFMD	B	50,000	3.62	n/a	n/a	1000.00 2.0
TOTAL (AO, CXL, CRT) :										500.00

TOTAL (Trade Date) :	51,192.42
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS:	51,692.42
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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