



Daily Compliance Activity Report

Trade Date: 09/12/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	ACN	SS	16,000	65.04	n/a	n/a	480.00	3.0
HIGHBRIDGE CAP	041	ADBE	SS	31,000	32.37	n/a	n/a	930.00	3.0
ROYCE TRADING	031	AEO	S	12,441	23.44	n/a	2-Dec	622.05	0.0
FIRST NY SEC/CHRIS	041	AIG	S	10,000	33.88	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	ANSS	SS	7,000	72.38	n/a	n/a	210.00	3.0
SANDLER CAPITAL	028	AOS	S	91,581	56.08	n/a	19-Jul	4,579.05	0.0
PZENA INV ADV	044	AVP	S	42,253	15.77	n/a	4-Sep	1,478.86	0.0
DSG CAPITAL	030	AXL	B	14,160	11.96	n/a	30-Jul	424.80	3.0
ROSEDALE CAPITAL	046	AXL	B	25,000	12.07	n/a	30-Jul	1,000.00	4.0
SANDLER O'NEILL ASSET	031	BAC	B	125,000	9.09	n/a	5-Sep	3,750.00	2.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.28		n/a	n/a	7,500.00 0.0
GEORGE WEISS	034	CAKE	S	16,500	34.78	n/a	26-Jul	495.00	0.0
UBS OCONNOR	031	CMI	SS	20,000	98.54	n/a	11-Jul	600.00	0.0
INVESCO	031	COH	B	96,525	61.14	n/a	1-Aug	3,861.00	0.0
HIGHBRIDGE CAP	041	CTSH	SS	15,250	68.01	n/a	n/a	457.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
SAGE ASSET MGMT	025	DAL	S	25,800	9.44	n/a	n/a	1,032.00	4.0	
WOODWAY FINANCIAL	031	DG	B	31,650	49.86	n/a	5-Sep	1,899.00	6.0	
PZENA INV ADV	044	DLPH	B	51,000	31.18	n/a	n/a	1,785.06	0.0	
HIGHBRIDGE CAP	041	EQIX	SS	6,000	186.19	n/a	n/a	180.00	3.0	
HIGHBRIDGE CAP	041	FFIV	SS	5,000	96.84	n/a	n/a	150.00	3.0	
BTG PACTUAL	040	FINL	B	10,000	23.57	n/a	22-Aug	300.00	3.0	
CASTLEROCK	040	FINL	B	10,000	23.33	n/a	22-Aug	400.00	0.0	
ROYCE TRADING	031	FINL	B	14,000	23.38	n/a	22-Aug	700.00	0.0	
SYSTEMATIC FINANCIAL MGT	035	FINL	S	103,350	23.46	n/a	22-Aug	3,100.50	0.0	
IRIDIAN ASSET MGMT.	036	GLW	S	12,340	12.80	n/a	7-Sep	617.00	0.0	
UBS OCONNOR	031	GWW	S	15,000	205.77	n/a	7-Aug	450.00	0.0	
CAPITAL RESEARCH GROUP		296	HD	S	209,596	56.79	n/a	14-Aug	7,335.86	0.0
LATEEF MGMT	035	HON	S	900	59.95	n/a	12-Sep	135.00	15.0	
INTERVAL PARTNERS	033	JCI	SS	8,000	28.25	n/a	20-Jul	240.00	0.0	
CAISSE DEPOT PLACEMENT Q	295	JIVE	B	29,800	14.00	n/a	n/a	894.00	3.0	
ROSEDALE CAPITAL	046	KMX	SS	15,000	32.42	n/a	n/a	600.00	4.0	
WADDELL AND REED	047	KO	S	183,750	37.66	n/a	4-Sep	7,350.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	KR	SS	20,000	23.88	n/a	n/a	800.00	4.0
LEVIN CAPITAL STRATEGIES	041	KSS	C	15,000	53.87	n/a	31-Aug	450.00	0.0
SUFFOLK CAPITAL MGMT	040	LCC	B	65,100	11.79	n/a	n/a	1,953.00	0.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	76.05	n/a	10-Sep	1,000.00	5.0
INTERVAL PARTNERS	033	MAS	SS	10,000	14.48	n/a	n/a	300.00	0.0
WATERFRONT CAP	028	MAS	B	84,500	14.69	n/a	n/a	3,380.00	0.0
WADDELL AND REED	047	MCD	S	57,800	90.91	n/a	11-Sep	2,312.00	0.0
ARSENAL ASSET MANAGEMENT	028	MHK	B	5,000	74.53	n/a	n/a	200.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	MPG	S	2,264	3.76		n/a	n/a	45.28 2.0
BRIGADE CAPITAL MGMT	029	NRG	B	50,000	22.37	n/a	n/a	1,500.00	0.0
CAISSE DEPOT PLACEMENT Q	295	NTAP	S	25,000	35.21	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	NXV	B	7,500	25.65		n/a	n/a	225.00 3.0
CAPITAL RESEARCH GROUP		296	PCP	B	12,875	158.62	n/a	1-Aug	450.63 0.0
BRONSON POINT	036	RCL	B	12,500	29.68	n/a	n/a	375.00	0.0
UBS OCONNOR	031	ROP	B	25,000	103.96	n/a	n/a	750.00	0.0
GEORGE WEISS	034	ROST	B	18,000	66.80	n/a	31-Aug	540.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	SBUX	C	30,000	51.25	n/a	27-Jul	1,500.00	0.0
UBS OCONNOR	031	SPW	B	10,000	67.08	n/a	n/a	300.00	0.0
TROUBH PART	070	SPY	B	10,000	144.40	n/a	n/a	500.00	5.0
CENTURION PARTNERS	041	TCB	S	50,000	11.62	n/a	n/a	2,000.00	4.0
GEORGE WEISS	034	TGT	B	15,000	64.34	n/a	30-Aug	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		TRW	B	8,954	46.39		n/a	n/a	358.16 4.0
SUFFOLK CAPITAL MGMT	040	VZ	B	43,000	44.70	n/a	n/a	1,720.00	0.0
HIGHBRIDGE CAP	041	WLK	B	14,000	72.26	n/a	n/a	420.00	3.0
DAVIDSON KEMPNER ADVISOR	040	YHOO	S	50,000	15.46	n/a	n/a	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	18,800	66.03	n/a	23-Aug	752.00	0.0
TOTAL (Trade Date) :								78,737.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									78,737.75
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									78,737.75

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