



## Daily Compliance Activity Report

Trade Date: 11/20/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABX	S	10,000	34.34	n/a	n/a	400.00	4.0
ROYCE TRADING	031	AEO	B	6,700	19.08	n/a	2-Dec	335.00	0.0
1798 CAP/LOMBARD ASSET	040	AGO	B	150,000	13.22	n/a	n/a	7,500.00	0.0
PZENA INV ADV	044	AIG	B	2,525	32.30	n/a	n/a	88.38	0.0
HOTCHKIS & WILEY	035	ALL	S	97,400	39.88	n/a	n/a	1,948.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	75,000	4.72	n/a	n/a	3,750.00	5.0
NWQ INVESTMENT MGMT CO	084	CASY	S	2,150	46.41	n/a	n/a	64.50	0.0
ADAGE CAPITAL MGMT	030	CHS	SS	160,000	17.91	n/a	5-Feb	4,800.00	0.0
NWQ INVESTMENT MGMT CO	084	CLW	S	5,000	38.83	n/a	n/a	175.00	0.0
LOMAS CAPITAL	040	CNW	B	30,000	27.05	n/a	n/a	900.00	3.0
SANDLER CAPITAL	028	CVD	B	65,000	55.63	n/a	n/a	3,250.00	0.0
BTG PACTUAL	040	DAL	B	10,000	9.69	n/a	19-Nov	300.00	3.0
SANDLER O'NEILL ASSET	031	DFS	SS	25,000	41.35	n/a	15-Nov	1,250.00	5.0
GLENHILL CAPITAL	036	DKS	SS	50,000	51.42	n/a	13-Nov	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DKS	B	13,880	51.46	n/a	13-Nov	0.00	0.0
LISTED ERR	099	DKS	S	13,880	51.46	n/a	13-Nov	0.00	0.0
MATRIX ASSET ADV.	091	EMR	B	1,000	48.34	n/a	n/a	40.00	4.0
GLENHILL CAPITAL	036	ETH	B	22,500	29.06	n/a	n/a	1,125.00	0.0
GALT INVESTMENT	041	EXPR	S	25,000	11.55	n/a	n/a	1,250.00	5.0
EPOCH INV MGMT	030	FLO	S	78,189	22.18	n/a	n/a	2,345.67	0.0
LATEEF MGMT	035	FMER	B	1,000	13.58	n/a	n/a	100.00	10.0
NWQ INVESTMENT MGMT CO	084	FOR	S	5,000	14.09	n/a	8-Nov	175.00	0.0
KENNEDY CAPITAL	046	GCO	B	10,000	56.76	n/a	n/a	400.00	0.0
NWQ INVESTMENT MGMT CO	084	GES	S	4,300	23.60	n/a	18-Oct	150.50	0.0
KLEINHEINZ CAP PART	031	GIL	S	31,942	33.28	n/a	18-Oct	1,597.10	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GM	S	25,000	24.62		n/a 15-Nov	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	24.78	n/a	15-Nov	300.00	0.0
LONG OAR GLOBAL INV	040	GM	B	97,653	24.88	n/a	15-Nov	3,906.12	4.0
PROSPECTOR PARTNERS LLC	036	HES	S	10,000	49.88	n/a	n/a	400.00	4.0
CHARTER OAK	033	HOLX	B	25,000	19.30	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	35.38	n/a	25-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	IWM	SS	28,880	78.90	n/a	n/a	866.40	0.0
FINDLAY PARK PART	085	JCI	S	304,000	26.13	n/a	31-Oct	15,200.00	5.0
STANDARD PACIFIC CAPITAL	084	LEN	B	421,900	38.09	n/a	n/a	21,095.00	5.0
PNC CAPITAL ADV	028	MCD	S	47,095	85.72	n/a	8-Nov	1,883.80	0.0
NWQ INVESTMENT MGMT CO	084	MKSI	S	2,800	23.66	n/a	n/a	84.00	0.0
PNC CAPITAL ADV	028	MSFT	S	27,964	26.60	n/a	n/a	1,118.56	0.0
SCOPUS FUND	041	M	SS	15,000	40.94	n/a	8-Nov	600.00	4.0
SIMMONS VENTURES	041	M	SS	5,000	40.85	n/a	8-Nov	200.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.96	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	084	ORB	S	5,800	12.48	n/a	n/a	203.00	0.0
SCOPUS FUND	041	PAG	B	25,000	28.34	n/a	5-Nov	1,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	PCS	B	20,000	10.60	n/a	n/a	600.00	0.0
NWQ INVESTMENT MGMT CO	084	RDEN	S	3,200	45.22	n/a	9-Nov	96.00	0.0
HOTCHKIS & WILEY	035	RF	S	93,100	6.60	n/a	n/a	4,655.00	0.0
NWQ INVESTMENT MGMT CO	084	RGA	S	1,600	49.40	n/a	n/a	56.00	0.0
HOPLITE MGMT	025	RIMM	SS	100,000	9.99	n/a	n/a	4,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	RLGY	B	22,000	36.71	n/a	n/a	880.00	4.0
BAIRD INVESTMENT	047	ROK	B	8,650	78.00	n/a	n/a	432.50	0.0
KENNEDY CAPITAL	046	RUE	B	3,123	28.00	n/a	n/a	124.92	0.0
GLENHILL CAPITAL	036	SAPE	S	14,881	10.62	n/a	n/a	744.05	0.0
OZ MGMT	040	SBUX	B	15,000	49.93	n/a	15-Nov	450.00	0.0
<b>OTTER CREEK MGMT</b>	<b>093</b>	<b>TLAB</b>	<b>S</b>	<b>168,619</b>	<b>2.82</b>	<b>n/a</b>	<b>n/a</b>	<b>3,372.38</b>	<b>2.0</b>
NWQ INVESTMENT MGMT CO	084	TRS	S	3,300	23.57	n/a	n/a	99.00	0.0
PROSPECTOR PARTNERS LLC	036	TR	S	5,000	26.25	n/a	n/a	200.00	4.0
STANDARD PACIFIC CAPITAL	084	ULTA	S	39,746	88.74	n/a	n/a	1,987.30	5.0
HARVEST MGMT (JMP)	029	URBN	B	30,000	36.88	n/a	n/a	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	URBN	B	14,897	36.30	n/a	n/a	595.88	0.0
NWQ INVESTMENT MGMT CO	084	WAL	S	5,700	10.08	n/a	n/a	199.50	0.0
NWQ INVESTMENT MGMT CO	084	WSH	S	1,100	34.02	n/a	n/a	38.50	0.0
SYMPHONY ASSET	033	XRT	C	31,910	61.51	n/a	n/a	957.30	0.0
<b>TOTAL (Trade Date) :</b>								<b>106,289.36</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	ROYCE TRADING (ROYC42)	031	AEO	B	800	18.73	n/a	2-Dec	40.00 0.0
AO,	11/19	ROYCE TRADING (ROYC42)	031	AEO	B	10,300	18.73	n/a	2-Dec	515.00 0.0
AO,	11/19	ROYCE TRADING (ROYC6)	031	AEO	B	700	18.73	n/a	2-Dec	35.00 0.0
AO,	11/19	ROYCE TRADING (ROYC6)	031	AEO	B	7,900	18.73	n/a	2-Dec	395.00 0.0
AO,	11/19	ROYCE TRADING (ROYC10)	031	AEO	B	100	18.73	n/a	2-Dec	5.00 0.0
AO,	11/19	ROYCE TRADING (ROYC10)	031	AEO	B	700	18.73	n/a	2-Dec	35.00 0.0
AO,	11/19	ROYCE TRADING (ROYC87)	031	AEO	B	500	18.73	n/a	2-Dec	25.00 0.0
AO,	11/19	ROYCE TRADING (ROYC87)	031	AEO	B	6,100	18.73	n/a	2-Dec	305.00 0.0
AO,	11/19	ROYCE TRADING (ROYC66)	031	AEO	B	1,200	18.72	n/a	2-Dec	60.00 0.0
AO,	11/19	ROYCE TRADING (ROYC64)	031	AEO	B	600	18.72	n/a	2-Dec	30.00 0.0
AO,	11/19	ROYCE TRADING (ROYC20)	031	AEO	B	100	18.72	n/a	2-Dec	5.00 0.0
AO,	11/19	ROYCE TRADING (ROYC181)	031	AEO	B	100	18.72	n/a	2-Dec	5.00 0.0
AO,	11/19	ROYCE TRADING (ROYC180)	031	AEO	B	400	18.72	n/a	2-Dec	20.00 0.0
AO,	11/19	ROYCE TRADING (ROYC174)	031	AEO	B	300	18.72	n/a	2-Dec	15.00 0.0
AO,	11/19	ROYCE TRADING (ROYC100)	031	AEO	B	300	18.72	n/a	2-Dec	15.00 0.0
AO,CRT	11/19	PATTEN & PATTEN (PATTSCHWAB)	025	CNI	S	200	85.19	n/a	n/a	10.00 5.0
AO,CXL	11/19	PATTEN & PATTEN (PATTSCHWAB)	025	CNR	S	200	85.19	n/a	n/a	10.00 5.0

**TOTAL (AO, CXL, CRT) :****1,505.00**

TOTAL (Trade Date) :

106,289.36

TOTAL (AO, CXL, CRT) :

1,505.00

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TOTAL (RUN DATE) / NFS:

107,794.36

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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