



Daily Compliance Activity Report

Trade Date: 10/15/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	ASH	S	8,000	68.34	n/a	26-Sep	400.00	0.0
ROSEDALE CAPITAL	046	AXL	B	20,000	11.74	n/a	3-Oct	800.00	4.0
BRONSON POINT	036	BA	B	50,000	72.20	n/a	5-Oct	1,500.00	0.0
HEIGHTS CAPITAL	251	CHRW	B	20,740	60.25	n/a	n/a	829.60	0.0
BTG PACTUAL	040	CIE	B	10,000	20.80	n/a	n/a	300.00	0.0
DELTEC ASSET MGMT.	040	COF	B	35,000	57.41	n/a	15-Oct	1,750.00	5.0
NEW JERSEY DIV OF INV.	030	DLTR	B	50,000	41.31	n/a	12-Oct	1,500.00	3.0
BALYASNY ASSET MGMT	044	DPZ	SS	10,000	38.51	n/a	12-Oct	500.00	0.0
KAM ADVISORS LLC	041	EMN	B	46,300	55.26	n/a	n/a	1,389.00	0.0
ROYCE TRADING	031	FINL	B	7,399	20.91	n/a	28-Sep	369.95	0.0
HEIGHTS CAPITAL	251	GEF	SS	16,089	42.87	n/a	n/a	643.56	0.0
LOCUST WOOD CAPITAL MGMT	044	GM	B	27,295	24.50	n/a	3-Oct	1,091.80	4.0
THOMPSON SIEGAL&WALMSLEY	029	GPN	S	7,500	43.08	n/a	n/a	225.00	0.0
BASSWOOD PARTNERS	267	HOG	B	12,800	41.70	n/a	n/a	512.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	INTC	S	135,550	21.68		n/a n/a	4,337.60	0.0
DAVIDSON KEMPNER ADVISOR	040	IPG	S	100,000	11.27	n/a	n/a	5,000.00	0.0
EATON VANCE MGMT	029	JNJ	S	15,000	68.26	n/a	n/a	450.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	JNJ	B	18,050	68.73		n/a n/a	577.60	0.0
OSKIE CAPITAL MGMT	224	JPM	B	10,000	41.88	n/a	12-Oct	500.00	5.0
CR INTRINIC INVESTMENT	044	JWN	B	30,000	55.68	n/a	5-Oct	1,050.00	3.5
CRAMER ROSENTHAL	070	KO	B	24,500	38.07	n/a	15-Oct	980.00	0.0
FINDLAY PARK PART	085	LAZ	S	114,000	28.29	n/a	5-Oct	4,838.14	0.0
BNP PARIBAS SEC	040	LEN	S	10,000	36.84	n/a	n/a	300.00	3.0
HEIGHTS CAPITAL	251	LLL	B	17,356	72.63	n/a	n/a	694.24	0.0
JP MORGAN VENTURES	046	LOW	S	20,000	31.88	n/a	20-Aug	800.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	LRCX	S	25,500	32.49	n/a	n/a	765.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	MFA	B	49,800	8.01	n/a	n/a	1,494.00	0.0
HEIGHTS CAPITAL	251	NOC	SS	20,410	69.25	n/a	30-Jul	816.40	0.0
CRAMER ROSENTHAL	070	OC	B	93,730	30.35	n/a	n/a	3,749.20	0.0
HEIGHTS CAPITAL	251	OI	B	25,870	19.96	n/a	n/a	1,034.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STANDARD PACIFIC CAPITAL	084	ORLY	SS	135,000	82.62	n/a	n/a	6,750.00	5.0
HEIGHTS CAPITAL	251	PCAR	SS	18,850	40.22	n/a	12-Oct	754.00	0.0
EATON VANCE MGMT	029	PFE	S	50,000	25.26	n/a	n/a	1,500.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	PGR	S	14,000	22.13	n/a	n/a	420.00	0.0
COLUMBUS CIRCLE	036	PIR	B	10,700	19.19	n/a	n/a	428.00	0.0
JET CAPITAL/CHRIS	041	PLXT	C	21,153	4.78	n/a	n/a	634.59	0.0
RIVERPARK CAPITAL	025	RATE	B	2,400	14.10	n/a	n/a	120.00	5.0
MERRILL ASSET/BLACKROCK	297	RSE	B	4,300	14.88	n/a	n/a	172.00	0.0
SCOPUS FUND	041	SCVL	S	15,000	23.80	n/a	n/a	600.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	SS	20,000	35.19	n/a	n/a	600.00	0.0
ARSENAL ASSET MANAGEMENT	028	SWK	B	15,000	71.09	n/a	n/a	600.00	0.0
OSKIE CAPITAL MGMT	224	SXC	B	1,400	16.23	n/a	n/a	70.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	42.82	n/a	5-Oct	875.00	3.5
COBALT	041	UAL	B	200,000	20.34	n/a	n/a	8,000.00	0.0
OSKIE CAPITAL MGMT	224	WBC	S	6,000	56.88	n/a	29-Aug	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	WFC	B	100,000	33.77	n/a	15-Oct	4,000.00	0.0
SCOPUS FUND	041	WY	B	30,411	27.14	n/a	15-Oct	1,216.44	0.0
KAM ADVISORS LLC	041	XLE	C	58,200	72.74	n/a	n/a	1,746.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	86,600	70.11	n/a	11-Oct	3,464.00	0.0
NEW JERSEY DIV OF INV.	030	ZAGG	B	30,000	8.07	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	26.75	n/a	n/a	375.00	3.0
TOTAL (Trade Date):								72,722.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/12	S.A.C. CAP/ORENSTEIN (SACCML)	044	DOV	B	34,200	55.30	n/a	n/a	1197.00 3.5
AO,CRT	10/12	S.A.C. CAP/ORENSTEIN (SACCMSCO)	044	DOV	B	34,200	55.30	n/a	n/a	1197.00 3.5

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	72,722.92
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	72,722.92
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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