



## Daily Compliance Activity Report

Trade Date: 10/25/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ADM	S	40,000	26.94	n/a	22-Oct	1,200.00	3.0
KLEINHEINZ CAP PART	031	ANW	B	28,000	5.61	n/a	n/a	1,400.00	5.0
GEORGE WEISS	034	AXL	S	5,000	11.63	n/a	18-Oct	200.00	0.0
SANDLER O'NEILL ASSET	031	BAC	B	25,000	9.40	n/a	18-Oct	750.00	3.0
BALYASNY ASSET MGMT	044	BC	S	30,100	22.00	n/a	n/a	1,505.00	0.0
NEUBERGER BERMAN	036	BYI	B	12,700	47.46	n/a	n/a	508.00	0.0
MACELLUM CAPITAL	086	CAB	B	21,020	46.37	n/a	n/a	630.60	3.0
J. GOLDMAN	028	CAT	B	50,000	82.99	n/a	11-Jul	2,000.00	4.0
NEWLAND CAPITAL MGT	025	CAT	S	15,000	82.90	n/a	11-Jul	600.00	4.0
SCOPUS FUND	041	CROX	S	82,300	12.93	n/a	n/a	3,292.00	4.0
COLUMBUS CIRCLE	036	CSGP	B	1,300	82.05	n/a	n/a	52.00	0.0
ACK ASSET	028	DAN	B	32,121	13.17	n/a	18-Oct	963.63	0.0
BRIGADE CAPITAL MGMT	029	DAN	B	100,000	13.15	n/a	18-Oct	3,000.00	0.0
BTG PACTUAL	040	DG	B	15,000	47.44	n/a	5-Sep	450.00	3.0
J. GOLDMAN	028	DHR	B	20,000	51.95	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	DHR	SS	20,000	51.13	n/a	n/a	800.00	0.0
CONIFER/FIRESTORM/BC	033	DKS	SS	6,000	50.56	n/a	17-Sep	240.00	4.0
NEWLAND CAPITAL MGT	025	ENTG	S	10,000	8.17	n/a	n/a	300.00	3.0
NEWLAND CAPITAL MGT	025	ETN	B	7,500	45.71	n/a	19-Oct	300.00	4.0
BRONSON POINT	036	GGG	S	15,000	45.51	n/a	n/a	450.00	0.0
WEINTRAUB CAPITAL MGT.	084	GILD	B	25,000	67.75	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	IP	B	25,000	35.36	n/a	25-Oct	1,250.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	59,600	35.03	n/a	25-Oct	2,980.00	5.0
CYRUS CAPITAL	025	IWM	SS	12,000	81.01	n/a	n/a	360.00	3.0
SCOPUS FUND	041	JCP	B	58,200	25.09	n/a	13-Aug	2,328.00	4.0
SIMMONS VENTURES	041	JNY	SS	1,900	12.53	n/a	25-Oct	76.00	4.0
J. GOLDMAN	028	KSS	B	10,000	51.03	n/a	17-Oct	400.00	4.0
COOPER CREEK PART	028	LPX	B	20,000	15.13	n/a	15-Oct	800.00	4.0
ADAGE CAPITAL MGMT	030	LULU	B	120,000	67.68	n/a	10-Sep	3,600.00	3.0
SENATOR INVESTMENT GROUP	036	MCK	B	28,200	94.08	n/a	n/a	846.00	0.0
Õ Nilsa Vazquez		MTLQU	S	42	18.7100	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	MTW	S	30,000	13.79	n/a	11-Jul	1,500.00	0.0
NEWLAND CAPITAL MGT	025	PAG	SS	5,000	30.18	n/a	18-Oct	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	PBY	B	100,000	9.78	n/a	n/a	3,500.00	3.5
NEW JERSEY DIV OF INV.	030	PG	S	100,000	70.33	n/a	25-Oct	4,000.00	4.0
M&I FUNDS	047	PNK	S	55,526	13.12	n/a	n/a	2,221.04	4.0
COOPER CREEK PART	028	RKT	S	2,597	72.99	n/a	15-Oct	103.88	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	13,155	72.10	n/a	15-Oct	657.75	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,845	71.81	n/a	15-Oct	92.25	0.0
ADAGE CAPITAL MGMT	030	ROST	B	51,896	60.54	n/a	5-Oct	1,556.88	3.0
BTG PACTUAL	040	SBUX	S	7,500	46.00	n/a	4-Oct	225.00	3.0
ADAGE CAPITAL MGMT	030	SFD	B	60,000	20.56	n/a	n/a	1,800.00	0.0
MACELLUM CAPITAL	086	SKX	B	30,910	17.08	n/a	n/a	927.30	3.0
OSKIE CAPITAL MGMT	224	SXC	B	20,000	15.98	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	S	S	30,000	5.60	n/a	n/a	1,200.00	0.0
DECADE CAPITAL CHRIS C	041	TEX	B	15,590	21.53	n/a	n/a	623.60	0.0
Õ Nilsa Vazquez		TRN	S	400	30.8430	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	TSCO	SS	10,000	92.89	n/a	n/a	500.00	0.0
DECADE CAPITAL CHRIS C	041	TWI	S	21,357	19.90	n/a	n/a	854.28	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	UA	S	5,000	53.39	n/a	18-Sep	150.00	3.0
LOMAS CAPITAL	040	WGO	B	25,000	12.23	n/a	n/a	750.00	3.0
DECADE CAPITAL CHRIS C	041	WSO	SS	3,822	65.84	n/a	n/a	152.88	0.0
WATERFRONT CAP	028	WY	S	77,700	27.33	n/a	15-Oct	3,108.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>58,204.09</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/25	J. GOLDMAN (GOLDGSBULK)	028	CAT	B	50,000	82.99	n/a	11-Jul	2000.00 4.0
AO,CXL	10/22	NEUBERGER BERMAN (NBER503124)	036	OEH	B	3,200	12.12	n/a	n/a	128.00 0.0
AO,CXL	10/22	NEUBERGER BERMAN (NBER503124)	036	OEH	B	3,200	12.12	n/a	n/a	128.00 0.0
AO,	10/22	NEUBERGER BERMAN (NBER503124)	036	OEH	B	6,400	12.12	n/a	n/a	256.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,000.00</b>

TOTAL (Trade Date) :	58,204.09
TOTAL (AO, CXL, CRT) :	2,000.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>60,204.09</b>
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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