



Daily Compliance Activity Report

Trade Date: 11/12/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFRANCO	040	AAPL	S	641	545.52	n/a	n/a	25.64	0.0
SYMPHONY ASSET	033	ACIW	SS	1,770	43.02	n/a	n/a	53.10	0.0
SENATOR INVESTMENT GROUP	036	AIG	B	55,000	31.78	n/a	n/a	1,650.00	3.0
KLEINHEINZ CAP PART	031	AMRN	B	75,000	11.10	n/a	n/a	3,750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AOL	B	20,000	38.41	n/a	n/a	600.00	0.0
LEVIN CAPITAL STRATEGIES	041	APC	B	10,345	71.04	n/a	31-Oct	310.35	0.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	10,000	46.90	n/a	n/a	350.00	3.5
BARROW HANLEY MEWHINNEY	031	BP	B	445,200	40.90	n/a	n/a	15,582.00	0.0
LATEEF MGMT	035	BP	B	1,200	40.87	n/a	n/a	120.00	10.0
1798 CAP/LOMBARD ASSET	040	BZH	B	100,000	14.20	n/a	n/a	5,000.00	0.0
BESSEMER INVESTMENT	085	COP	S	228	55.80	n/a	n/a	9.12	4.0
SYMPHONY ASSET	033	COP	B	2,930	55.69	n/a	n/a	87.90	0.0
SYMPHONY ASSET	033	CSC	B	14,660	35.21	n/a	n/a	439.80	0.0
COLUMBUS CIRCLE	036	CYBX	B	1,189	46.48	n/a	n/a	47.56	0.0
LOMAS CAPITAL	040	DAL	S	100,000	10.30	n/a	12-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	DKS	B	10,000	48.88	n/a	9-Nov	300.00	0.0
CATAPULT CAP/DEFRANCO	040	DKS	B	6,200	49.65	n/a	9-Nov	248.00	0.0
CATAPULT CAP/DEFRANCO	040	DKS	SS	6,167	49.60	n/a	9-Nov	246.68	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	B	25,000	48.89	n/a	9-Nov	750.00	3.0
OZ MGMT	040	DKS	B	50,000	49.49	n/a	9-Nov	1,500.00	0.0
LATEEF MGMT	035	DVN	S	500	53.81	n/a	11-Oct	60.00	12.0
Õ Abram Chappel		FBC	S	250	16.4100	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	FDO	B	10,000	66.18	n/a	4-Oct	400.00	4.0
WEXFORD CAPITAL	033	FDO	B	30,000	66.45	n/a	4-Oct	900.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	SS	25,000	32.49	n/a	29-Aug	750.00	3.0
CATAPULT CAP/DEFRANCO	040	FOSL	B	2,682	82.21	n/a	n/a	107.28	0.0
TEMAGAMI CAPITAL	041	GM	B	7,000	25.22	n/a	2-Nov	280.00	4.0
SCOPUS FUND	041	GPI	S	10,000	58.70	n/a	2-Nov	400.00	4.0
BTG PACTUAL	040	HD	B	10,000	61.12	n/a	8-Nov	300.00	0.0
CASTLEROCK	040	HD	B	5,000	61.12	n/a	8-Nov	200.00	0.0
SYMPHONY ASSET	033	HPQ	SS	6,250	13.47	n/a	n/a	187.50	0.0
CASTLE ARK	031	INTC	S	396,770	20.74	n/a	n/a	19,838.50	0.0
CHARTER OAK	033	JBHT	SS	50,000	59.61	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JNJ	S	200	69.56	n/a	n/a	8.00	4.0
SAC TRADING TOM LEDDY	035	JWN	B	20,000	54.75	n/a	9-Nov	700.00	3.5
J. GOLDMAN	028	KSS	B	15,000	51.30	n/a	9-Nov	600.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	2,500	3.05		n/a	n/a	75.00 3.0
TRUSTCO/SUNTRUST (CEREDEX)	273	NRG	B	20,000	20.27		n/a	n/a	640.00 0.0
SYMPHONY ASSET	033	NTAP	SS	2,600	27.05	n/a	n/a	78.00	0.0
ROSEDALE CAPITAL	046	PBCT	S	50,000	11.63	n/a	19-Oct	2,000.00	4.0
1798 CAP/LOMBARD ASSET	040	PH	C	13,000	79.15	n/a	n/a	650.00	0.0
CATAPULT CAP/DEFRANCO	040	PNK	SS	12,494	11.79	n/a	n/a	499.76	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	QCOM	B	41,202	61.58		n/a	n/a	1,318.49 0.0
CATAPULT CAP/DEFRANCO	040	ROC	SS	7,055	43.69	n/a	n/a	282.20	0.0
BRIGADE CAPITAL MGMT	029	SD	B	50,000	5.31	n/a	n/a	1,500.00	0.0
LONG OAR GLOBAL INV	040	SHW	B	20,000	149.71	n/a	25-Oct	800.00	4.0
MACELLUM CAPITAL	086	SKX	B	42,470	15.76	n/a	n/a	1,274.10	3.0
PATTEN & PATTEN	025	SRZ	S	1,000	14.39	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	STC	S	26,600	24.58	n/a	n/a	1,064.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	20,000	35.02	n/a	n/a	600.00	0.0
OZ MGMT	040	TGT	B	75,000	61.96	n/a	9-Nov	2,250.00	0.0
ADAGE CAPITAL MGMT	030	TJX	B	250,000	41.05	n/a	5-Nov	7,500.00	3.0
BESSEMER INVESTMENT	085	TRGP	S	930	46.41	n/a	n/a	37.20	4.0
OZ MGMT	040	WMT	SS	75,000	72.12	n/a	12-Nov	2,250.00	0.0
M&I FUNDS	047	WRC	S	36,865	70.77	n/a	6-Nov	1,474.60	4.0
TOTAL (Trade Date) :								85,644.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/09	MARCATO CAPITAL MGMT. (MARCMS)	029	JCP	SS	500,000	20.21	n/a	12-Nov	20000.00 4.0
AO,CXL	11/09	MARCATO CAPITAL MGMT. (MARCGS)	029	JCP	SS	500,000	20.21	n/a	12-Nov	15000.00 3.0
AO,CXL	11/09	NEWLAND CAPITAL MGT (NEWLGS)	025	SPY	SS	20,000	138.67	n/a	n/a	800.00 4.0
AO,CRT	11/09	NEWLAND CAPITAL MGT (NEWLGS)	025	SPY	SS	20,000	138.67	n/a	n/a	400.00 2.0
TOTAL (AO, CXL, CRT) :										4,600.00

TOTAL (Trade Date) :	85,644.78
TOTAL (AO, CXL, CRT) :	4,600.00

TOTAL (RUN DATE) / NFS :	90,244.78
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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