



Daily Compliance Activity Report

Trade Date: 10/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC	044	AN	S	5,000	38.83	n/a	21-Oct	150.00	3.0
ADAGE CAPITAL MGMT	030	AOS	SS	40,000	33.54	n/a	21-Oct	1,200.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	10,000	22.05	n/a	17-Oct	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	S	10,000	22.38	n/a	17-Oct	0.00	0.0
WAGONHOUND/NICOLAS	033	ARCO	B	24,000	22.09	n/a	17-Oct	960.00	4.0
HIGHBRIDGE CAP	041	ARO	S	86,000	14.00	n/a	19-Aug	2,580.00	3.0
OZ MGMT	040	AXL	C	47,233	9.07	n/a	19-Oct	1,416.99	3.0
BRANDWINE	028	BK	B	298,200	20.56	n/a	19-Oct	11,928.00	4.0
HAMILTON CAP PART FIN	031	BOH	B	3,490	40.17	n/a	n/a	139.60	4.0
JET CAPITAL/CHRIS	041	BP	S	25,000	41.74	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL/SCOTT	070	CBE	S	151,700	51.22	n/a	21-Oct	6,068.00	4.0
FORTRESS INVESTMENT (US)	036	CFR	B	31,500	48.31	n/a	n/a	1,260.00	4.0
LAGRANGE CAP ADV	085	CNS	B	10,000	24.45	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	297	COG	S	3,500	70.67	n/a	12-Oct	140.00	4.0
SMITH MGMT LLC	029	C	B	654,000	30.60	n/a	18-Oct	19,620.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DAL	B	12,224	8.54	n/a	n/a	488.96	4.0
ACK ASSET	028	DAN	B	100,000	13.52	n/a	19-Oct	3,000.00	3.0
VISIUM/BALY BOBBY	044	DAN	C	30,000	13.54	n/a	19-Oct	1,500.00	5.0
MERRILL ASSET/BLACKROCK	297	DNR	S	89,800	15.78	n/a	n/a	3,592.00	4.0
ROTHSCHILD ASSET	040	DPL	S	3,518	30.32	n/a	n/a	140.72	4.0
CHART WELL ADV	028	DPZ	S	46,050	32.02	n/a	20-Oct	1,842.00	4.0
MERRILL ASSET/BLACKROCK	297	DRC	S	8,400	50.03	n/a	n/a	336.00	4.0
CATAPULT	040	ECA	B	25,000	20.84	n/a	n/a	1,000.00	4.0
VISIUM/BALY BOBBY	044	FDX	C	10,000	79.62	n/a	n/a	500.00	5.0
ROYCE TRADING	031	FINL	B	8,500	20.32	n/a	23-Sep	425.00	5.0
MELLON/BANK OF NEW YORK	046	FITB	B	233,050	11.75	n/a	n/a	9,322.00	4.0
ROARING BLUE LION MGMT	031	FL	B	29,400	22.15	n/a	19-Aug	1,176.00	4.0
LATEFF MGMT	035	FOR	B	10,000	12.15	n/a	17-Oct	500.00	5.0
CROWLEY	061	FREEDOM GOLF CORP	S	5,500	0.00		n/a	n/a	0.00 0.0
NEW JERSEY DIV OF INV.	030	GE	B	283,000	16.37	n/a	n/a	11,320.00	4.0
OZ MGMT	040	GM	C	16,337	23.40	n/a	19-Oct	490.11	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	HFC	S	22,300	33.54	n/a	n/a	892.00	4.0
VISIUM/BALY BOBBY	044	JOYG	C	9,000	81.47	n/a	14-Sep	450.00	5.0
MACQUARIE INVESTMENT MGMT.	040	LAZ	B	10,000	24.69	n/a	7-Oct	0.00	0.0
HIGHBRIDGE CAP	041	LOW	B	24,000	21.74	n/a	17-Oct	720.00	3.0
ROTHSCHILD ASSET	040	MTB	B	2,388	74.00	n/a	n/a	95.52	4.0
CROWLEY	061	MULTI SOLUTIONS INC	S	200	0.01		n/a	n/a	0.00 0.0
THOMAS WEISEL ASSET MGMT	035	MU	S	10,154	5.62	n/a	n/a	304.62	3.0
LIONEYE CAPITAL	040	PAET	S	25,000	5.43	n/a	n/a	1,250.00	5.0
ROYCE TRADING	031	PLCE	B	500	45.73	n/a	18-Aug	25.00	5.0
HOLLIS CAPITAL	033	RKT	B	5,000	56.34	n/a	17-Oct	250.00	5.0
NEW JERSEY DIV OF INV.	030	ROC	S	2,500	42.72	n/a	n/a	100.00	4.0
NEW JERSEY DIV OF INV.	030	RTN	B	55,000	43.67	n/a	17-Oct	2,200.00	4.0
MILLRACE FUND LP	028	SBUX	B	10,753	41.79	n/a	3-Oct	430.12	4.0
NEUBERGER BERMAN	036	SKT	S	39,300	27.50	n/a	n/a	1,572.00	4.0
ROTHSCHILD ASSET	040	SMG	S	23,265	48.04	n/a	10-Oct	930.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SON	B	15,000	29.91	n/a	n/a	600.00	4.0
VISIUM/BALY BOBBY	044	ST	C	10,000	29.75	n/a	n/a	500.00	5.0
RWC PARTNERS LTD	085	TJX	B	6,400	59.50	n/a	7-Oct	192.00	3.0
KLEINHEINZ CAP PART	031	WFM	B	30,000	71.93	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	32,700	46.38	n/a	21-Oct	981.00	3.0
TOTAL (Trade Date):								95,338.24	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									95,338.24
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									95,338.24
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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