

Daily Compliance Activity Report Trade Date: 12/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101		11/11/11/1	HEIDE VIOL	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
TRUSTCO/SUNTRUST	040	ACC	S	30,000	40.44	n/a	n/a	1,050.00	3.5
COUGAR TRADING	044	AGCO	В	10,000	42.24	n/a	12-Dec	500.00	5.0
COUGAR TRADING	044	AGCO	S	10,000	41.26	n/a	12-Dec	500.00	5.0
DEVENNY CAP LLC	044	AGCO	В	5,000	41.77	n/a	12-Dec	150.00	3.0
MACQUARIE INVESTMENT MGMT	. 040	AMGN	В	5,000	60.81	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	AMT	В	97,706	58.77	n/a	n/a	3,908.24	4.0
CAISSE DEPOT PLACEMENT Q	295	ATML	В	40,000	8.26	n/a	n/a	1,200.00	3.0
PZENA INV ADV	044	AXS	S	1,050	30.98	n/a	n/a	36.75	3.5
MACQUARIE INVESTMENT MGMT	. 040	А	SS	5,000	33.94	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	BA	В	50,000	72.27	n/a	29-Nov	2,000.00	4.0
MACQUARIE INVESTMENT MGMT	. 040	ВМҮ	S	10,000	34.19	n/a	n/a	0.00	0.0
BALLAST CAP	040	CDE	В	7,000	25.25	n/a	n/a	350.00	5.0
FIRST NEW YORK LEDDY	035	CHRS	В	20,000	4.84	n/a	n/a	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	CINF	В	50,000	30.12	n/a	n/a	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	СОН	SS	50,000	58.90	n/a	26-0ct	2,000.00	4.0

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Account	KK #	Symbol	В/5	Shares	Price	MKI	Research	Comm. Ç	/Snr.
OHIO PERS	047	COL	В	22,600	53.28	n/a	5-Dec	678.00	3.0
PENNANT CAP MGMT	029	COL	S	200,000	53.73	n/a	5-Dec	6,000.00	3.0
UNITED STATES PENSION	085	DTV	S	964,468	42.20	n/a	n/a	9,644.68	1.0
SCOPUS FUND	041	EL	В	15,000	108.19	n/a	3-Nov	600.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EPD	S	50,000	44.89	n/a	n/a	2,000.00	4.0
RAINIER INV MGMT	035	EWBC	В	102,490	18.89	n/a	n/a	4,099.60	4.0
WEINTRAUB CAPITAL MGT.	040	FCX	В	30,000	37.75	n/a	n/a	1,200.00	4.0
OHIO PERS	047	FTR	В	128,000	4.88	n/a	n/a	3,840.00	3.0
MACQUARIE INVESTMENT MGMT	. 040	GES	SS	10,000	29.38	n/a	1-Dec	0.00	0.0
DEVENNY CAP LLC	044	GM	В	5,000	20.39	n/a	2-Dec	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	GS	SS	15,000	89.98	n/a	15-Dec	600.00	4.0
MACQUARIE INVESTMENT MGMT	. 040	HBI	S	10,000	22.19	n/a	30-Nov	0.00	0.0
MERRILL ASSET/BLACKROCK	297	HHS	S	9,215	9.56	n/a	n/a	368.60	4.0
MACQUARIE INVESTMENT MGMT	. 040	HOLX	В	5,000	16.77	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT	. 040	HUM	В	5,000	85.96	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	ITW	S	5,000	47.01	n/a	5-Dec	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SURVEYOR CAPITAL	251	JCI	SS	5,000	29.22	n/a	21-Nov	150.00	3.0
PZENA INV ADV	044	JCP	S	2,225	32.65	n/a	2-Dec	77.88	3.5
MILLENNIUM-ANDEW	031	JOY	В	5,000	76.91	n/a	15-Dec	250.00	5.0
ROSEDALE CAPITAL	046	KEG	В	20,000	13.34	n/a	13-Dec	800.00	4.0
PROSPECTOR PARTNERS LLC	036	KGC	В	10,000	12.06	n/a	n/a	400.00	4.0
SIMMONS VENTURES	041	KSWS	В	10,000	2.53	n/a	n/a	300.00	3.0
OHIO PERS	047	MAS	В	100,000	9.10	n/a	n/a	3,000.00	3.0
WEINTRAUB CAPITAL MGT.	040	MDR	В	100,000	10.20	n/a	n/a	4,000.00	4.0
DEVENNY CAP LLC	044	MGA	В	5,000	33.10	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	MMP	S	15 , 700	65.70	n/a	n/a	628.00	4.0
CAISSE DEPOT PLACEMENT Q	295	MXL	В	20,000	4.44	n/a	n/a	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	21.71	n/a	9-Nov	400.00	4.0
RIDGECREST INV MGMT LLC	028	NTSP	В	16,000	7.84	n/a	n/a	800.00	5.0
TRUSTCO/SUNTRUST	040	PFE	S	50,000	21.28	n/a	n/a	1,750.04	3.5
HOPLITE MGMT	025	PGR	В	100,000	18.87	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PZENA INV ADV	044	PPG	S	425	81.63	n/a	14-Dec	14.88	3.5
OHIO PERS	047	QCOM	S	40,000	53.35	n/a	n/a	1,200.00	3.0
MACQUARIE INVESTMENT MGMT	. 040	RMD	В	5,000	24.84	n/a	n/a	0.00	0.0
CHESAPEAKE PARTNERS	028	SEMG	В	20,000	25.50	n/a	n/a	600.00	3.0
PZENA INV ADV	044	SPR	S	1,925	19.28	n/a	11-Nov	67.38	3.5
STELLIAM INV ADV	034	STX	В	5,000	15.43	n/a	n/a	250.00	5.0
BRONSON POINT	036	SWY	SS	40,000	20.56	n/a	n/a	1,200.00	3.0
DEVENNY CAP LLC	044	TEN	В	5,000	27.21	n/a	n/a	150.00	3.0
STELLIAM INV ADV	034	TEVA	S	5,000	42.71	n/a	16-Dec	250.00	5.0
OHIO PERS	047	TXT	S	68,000	17.61	n/a	n/a	2,040.00	3.0
OHIO PERS	047	UNH	S	73,572	49.24	n/a	n/a	2,207.16	3.0
WHITE PINE CAPITAL	030	UNT	S	4,000	44.28	n/a	13-Dec	120.00	3.0
BRONSON POINT	036	URI	В	85,000	27.34	n/a	n/a	2,550.00	3.0
OHIO PERS	047	VMED	В	30,000	21.05	n/a	n/a	900.00	3.0
PZENA INV ADV	044	VR	S	950	29.95	n/a	n/a	33.25	3.5
	PZENA INV ADV OHIO PERS MACQUARIE INVESTMENT MGMT CHESAPEAKE PARTNERS PZENA INV ADV STELLIAM INV ADV BRONSON POINT DEVENNY CAP LLC STELLIAM INV ADV OHIO PERS WHITE PINE CAPITAL BRONSON POINT OHIO PERS	PZENA INV ADV 044 OHIO PERS 047 MACQUARIE INVESTMENT MGMT. 040 CHESAPEAKE PARTNERS 028 PZENA INV ADV 044 STELLIAM INV ADV 034 BRONSON POINT 036 DEVENNY CAP LLC 044 STELLIAM INV ADV 034 OHIO PERS 047 OHIO PERS 047 WHITE PINE CAPITAL 030 BRONSON POINT 036 OHIO PERS 047	PZENA INV ADV 044 PPG OHIO PERS 047 QCOM MACQUARIE INVESTMENT MGMT. 040 RMD CHESAPEAKE PARTNERS 028 SEMG PZENA INV ADV 044 SPR STELLIAM INV ADV 034 STX BRONSON POINT 036 SWY DEVENNY CAP LLC 044 TEN STELLIAM INV ADV 034 TEVA OHIO PERS 047 TXT OHIO PERS 047 UNH WHITE PINE CAPITAL 030 UNT BRONSON POINT 036 URI OHIO PERS 047 VMED	PZENA INV ADV 044 PPG S OHIO PERS 047 QCOM S MACQUARIE INVESTMENT MGMT. 040 RMD B CHESAPEAKE PARTNERS 028 SEMG B PZENA INV ADV 044 SPR S STELLIAM INV ADV 034 STX B BRONSON POINT 036 SWY SS DEVENNY CAP LLC 044 TEN B STELLIAM INV ADV 034 TEVA S OHIO PERS 047 TXT S OHIO PERS 047 UNH S WHITE PINE CAPITAL 030 UNT S BRONSON POINT 036 URI B CHIO PERS 047 VMED B	PZENA INV ADV 044 PPG S 425 OHIO PERS 047 QCOM S 40,000 MACQUARIE INVESTMENT MGMT. 040 RMD B 5,000 CHESAPEAKE PARTNERS 028 SEMG B 20,000 PZENA INV ADV 044 SPR S 1,925 STELLIAM INV ADV 034 STX B 5,000 BRONSON POINT 036 SWY SS 40,000 STELLIAM INV ADV 034 TEVA S 5,000 OHIO PERS 047 TXT S 68,000 OHIO PERS 047 UNH S 73,572 WHITE PINE CAPITAL 030 UNT S 4,000 BRONSON POINT 036 URI B 85,000 OHIO PERS 047 VMED B 30,000	PZENA INV ADV 044 PPG S 425 81.63 OHIO PERS 047 QCOM S 40,000 53.35 MACQUARIE INVESTMENT MGMT. 040 RMD B 5,000 24.84 CHESAPEAKE PARTNERS 028 SEMG B 20,000 25.50 PZENA INV ADV 044 SPR S 1,925 19.28 STELLIAM INV ADV 034 STX B 5,000 15.43 BRONSON POINT 036 SWY SS 40,000 20.56 DEVENNY CAP LLC 044 TEN B 5,000 27.21 STELLIAM INV ADV 034 TEVA S 5,000 42.71 OHIO PERS 047 TXT S 68,000 17.61 OHIO PERS 047 UNH S 73,572 49.24 WHITE PINE CAPITAL 030 UNT S 4,000 44.28 BRONSON POINT 036 URI B 85,000 27.34 OHIO PERS 047 VMED B 30,000 21.05	PZENA INV ADV 044 PPG S 40,000 53.35 n/a OHIO PERS 047 QCOM S 40,000 53.35 n/a MACQUARIE INVESTMENT MGMT. 040 RMD B 5,000 24.84 n/a CHESAPEAKE PARTNERS 028 SEMG B 20,000 25.50 n/a PZENA INV ADV 044 SPR S 1,925 19.28 n/a STELLIAM INV ADV 034 STX B 5,000 15.43 n/a BRONSON POINT 036 SWY SS 40,000 20.56 n/a DEVENNY CAP LLC 044 TEN B 5,000 27.21 n/a STELLIAM INV ADV 034 TEVA S 5,000 42.71 n/a OHIO PERS 047 TXT S 68,000 17.61 n/a OHIO PERS 047 UNH S 73,572 49.24 n/a WHITE PINE CAPITAL 030 UNT S 4,000 44.28 n/a BRONSON POINT 036 URI B 85,000 27.34 n/a OHIO PERS 047 VMED B 30,000 21.05 n/a	PZENA INV ADV 044 PPG S 40,000 53.35 n/a 14-Dec OHIO PERS 047 QCOM S 40,000 53.35 n/a n/a MACQUARIE INVESTMENT MGMT. 040 RMD B 5,000 24.84 n/a n/a PZENA INV ADV 044 SPR B 20,000 25.50 n/a n/a PZENA INV ADV 044 SPR S 1,925 19.28 n/a 11-Nov STELLIAM INV ADV 034 STX B 5,000 15.43 n/a n/a BRONSON POINT 036 SWY SS 40,000 20.56 n/a n/a DEVENNY CAP LLC 044 TEN B 5,000 27.21 n/a n/a STELLIAM INV ADV 034 TEVA S 5,000 42.71 n/a 16-Dec OHIO PERS 047 TXT S 68,000 17.61 n/a n/a OHIO PERS 047 UNH S 73,572 49.24 n/a n/a WHITE PINE CAPITAL 030 UNT S 4,000 44.28 n/a 13-Dec BRONSON POINT 036 URI B 85,000 27.34 n/a n/a OHIO PERS 047 VMED B 30,000 21.05 n/a n/a	PZENA INV ADV 044 PPG S 40,000 53.35

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
MACQUARIE INVESTMENT MG	MT. 040	WCG	В	5,000	52.67	n/a	n/a	0.00 0.0
OHIO PERS	047	WDC	В	60,000	31.44	n/a	n/a	1,800.00 3.0

TOTAL (Trade Date): 75,614.46

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/15	ADALY INV MGMT (ADALOPP)	031	CDE	SS	10,900	24.81	n/a	n/a	545.00	5.0
AO, CRT	12/15	ADALY INV MGMT (ADALOPP)	031	CDE	SS	10,900	24.81	n/a	n/a	490.50	4.5
AO,CXL	12/15	ADALY INV MGMT (ADALSOMF)	031	CDE	SS	19,700	24.81	n/a	n/a	985.00	5.0
AO, CRT	12/15	ADALY INV MGMT (ADALSOMF)	031	CDE	SS	19,700	24.81	n/a	n/a	886.50	4.5
AO,CXL	12/15	ADALY INV MGMT (ADALSRF)	031	CDE	SS	4,400	24.81	n/a	n/a	220.00	5.0
AO, CRT	12/15	ADALY INV MGMT (ADALSRF)	031	CDE	SS	4,400	24.81	n/a	n/a	198.00	4.5
AO,CXL	12/15	GALT INVESTMENT (GALTGS)	041	CROX	В	50,000	14.37	n/a	n/a	2500.00	5.0
AO,CRT	12/15	GALT INVESTMENT (GALTGS)	041	CROX	В	50,000	14.37	n/a	n/a	2000.00	4.0
A O,	12/14	LISTED ERR (LISTED ERR)	099	HXL	В	45,000	23.34	n/a	8-Dec	0.00	0.0
AO,	12/14	LISTED ERR (LISTED ERR)	099	HXL	S	45,000	23.34	n/a	8-Dec	0.00	0.0
AO,CXL	12/15	SYSTEMATIC FINANCIAL MGT (SYST179)	035	MWV	В	1,025	28.67	n/a	26-0ct	30.75	3.0
AO,	12/15	SYSTEMATIC FINANCIAL MGT (SYST170)	035	MWV	В	1,025	28.67	n/a	26-0ct	30.75	3.0

TOTAL (RUN DATE) / NFS:	74,939.46
TOTAL (AO, CXL, CRT):	-675.00
TOTAL (Trade Date):	75,614.46

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