



## Daily Compliance Activity Report

Trade Date: 12/01/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	APA	S	150	99.37	n/a	10-Nov	7.50	5.0
MELLON/BANK OF NEW YORK	046	APKT	S	38,120	33.84	n/a	n/a	1,524.80	4.0
SCOPUS FUND	041	ARO	B	10,000	15.80	n/a	1-Dec	400.00	4.0
TUDOR INVESTORS	028	ASH	S	5,000	56.01	n/a	22-Nov	150.00	3.0
ARSENAL ASSET MANAGEMENT	028	AXL	S	6,519	8.82	n/a	31-Oct	260.76	4.0
CAPITAL GROWTH MGMT.	241	BAC	B	800,000	5.40	n/a	30-Nov	16,000.00	2.0
NEWLAND CAPITAL MGT	025	BGC	B	20,000	26.57	n/a	n/a	800.00	4.0
STELLIAM INV ADV	034	BHI	SS	25,000	55.11	n/a	n/a	1,250.00	5.0
THIRD COAST CAPITAL	035	BIG	B	10,000	40.43	n/a	29-Nov	500.00	5.0
DEVENNY CAP LLC	044	BWA	SS	10,000	66.66	n/a	9-Nov	300.00	3.0
SURVEYOR CAPITAL	041	CAR	SS	3,000	11.83	n/a	n/a	90.00	3.0
TUDOR INVESTORS	028	CAT	B	5,000	96.11	n/a	25-Oct	150.00	3.0
PATTEN & PATTEN	025	CBT	S	1,000	32.80	n/a	10-Nov	50.00	5.0
TUDOR INVESTORS	028	CE	SS	3,000	46.24	n/a	20-May	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	CHRW	SS	5,000	67.92	n/a	n/a	150.00	3.0
ARSENAL ASSET MANAGEMENT	028	CLW	B	5,000	34.80	n/a	n/a	200.00	4.0
ADALY INV MGMT	031	CMA	S	25,000	25.10	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	041	CMI	B	5,500	96.69	n/a	26-Oct	165.00	3.0
LANE GATE PARTNERS LLC	030	C	B	7,000	26.87	n/a	30-Nov	210.00	3.0
PATTEN & PATTEN	025	DD	S	1,000	47.41	n/a	15-Nov	50.00	5.0
SCOPUS FUND	041	DECK	S	59,970	107.21	n/a	n/a	2,398.80	4.0
OHIO PERS	047	DELL	B	93,000	15.72	n/a	n/a	2,790.00	3.0
HIGHBRIDGE CAP	041	DKS	S	7,000	39.29	n/a	16-Nov	210.00	3.0
ETON PARK CAPITAL	041	DLTR	S	175,000	82.26	n/a	22-Nov	7,000.00	4.0
PATTEN & PATTEN	025	EWJ	S	2,500	9.35	n/a	n/a	125.00	5.0
TUDOR INVESTORS	028	FCX	B	5,000	39.41	n/a	n/a	150.00	3.0
COLUMBUS CIRCLE	036	FST	B	1,795	15.49	n/a	n/a	35.90	2.0
DEVENNY CAP LLC	044	F	SS	10,000	10.57	n/a	30-Nov	300.00	3.0
OZ MGMT	040	F	SS	200,000	10.51	n/a	30-Nov	6,000.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		F	SS	25,000	10.58		n/a 30-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	030	GLW	B	15,000	13.31	n/a	30-Nov	450.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	21.07	n/a	30-Nov	2,500.00	5.0
DEVENNY CAP LLC	044	GM	S	10,000	21.55	n/a	30-Nov	300.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GM	SS	50,000	21.42	n/a	30-Nov	0.00	0.0
OZ MGMT	040	GM	SS	50,000	21.56	n/a	30-Nov	1,500.00	3.0
WOOSTER CAPITAL	035	GM	S	50,000	21.26	n/a	30-Nov	2,500.00	5.0
SIMMONS VENTURES	041	HBI	B	5,000	23.41	n/a	30-Nov	200.00	4.0
SIMMONS VENTURES	041	HBI	S	5,000	23.34	n/a	30-Nov	200.00	4.0
HIGHBRIDGE CAP	041	HD	S	7,000	39.33	n/a	16-Nov	210.00	3.0
WEINTRAUB CAPITAL MGT.	040	HOS	S	25,000	33.99	n/a	n/a	1,000.00	4.0
OHIO PERS	047	HPQ	S	51,200	28.28	n/a	n/a	1,536.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ITW	B	15,000	45.44	n/a	26-Oct	0.00	0.0
YORK CAPITAL	036	IWM	B	325,000	73.67	n/a	n/a	9,750.00	3.0
TUDOR INVESTORS	028	JCI	SS	5,000	31.25	n/a	21-Nov	150.00	3.0
THE JAY GOLDMAN	028	JWN	S	10,000	46.84	n/a	28-Nov	400.00	4.0
BNP PARIBAS SEC	040	KSS	B	25,000	51.34	n/a	28-Nov	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	KSS	B	3,000	51.42	n/a	28-Nov	150.00	5.0
ROARING BLUE LION MGMT	031	LULU	SS	8,850	44.27	n/a	30-Nov	354.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	MCY	B	10,000	44.35	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	MMM	S	350	80.50	n/a	8-Nov	17.50	5.0
SANDLER O'NEILL ASSET	031	MS	S	15,000	14.88	n/a	30-Nov	750.00	5.0
WHITE PINE CAPITAL	030	MS	S	2,500	14.48	n/a	30-Nov	125.00	5.0
FIRST NY SEC/CHRIS	041	M	B	25,000	32.51	n/a	28-Nov	750.00	3.0
THE JAY GOLDMAN	028	M	SS	25,000	32.17	n/a	28-Nov	1,000.00	4.0
CAPITAL GROWTH MGMT.	241	NOV	S	100,000	71.87	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	NWN	B	1,300	47.06	n/a	n/a	52.00	4.0
NEUBERGER BERMAN	036	OEH	B	68,200	7.42	n/a	n/a	2,728.00	4.0
MERRILL ASSET/BLACKROCK	297	PCAR	S	35,357	40.42	n/a	26-Oct	1,414.28	4.0
SURVEYOR CAPITAL	041	PCAR	SS	5,000	40.85	n/a	26-Oct	150.00	3.0
MERRILL ASSET/BLACKROCK	297	PDC	S	10,800	11.01	n/a	n/a	432.00	4.0
PATTEN & PATTEN	025	PHO	S	2,250	17.16	n/a	n/a	112.50	5.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	B	5,000	25.73	n/a	18-Oct	250.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	1,200	54.19	n/a	22-Nov	60.00	5.0
TUDOR INVESTORS	028	POT	B	5,000	43.78	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	297	PRA	S	1,500	79.09	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	PVH	B	25,000	67.55	n/a	21-Oct	1,250.00	5.0
TUDOR INVESTORS	028	RBN	S	5,000	51.58	n/a	n/a	150.00	3.0
HOPLITE MGMT	025	RIMM	SS	50,000	18.47	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		RKT	S	3,000	58.23	n/a	10-Nov	150.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>143.56</b>	<b>n/a</b>	<b>11-Nov</b>	<b>300.00</b>	<b>3.0</b>
FIRST NY SEC/CHRIS	041	ROST	S	5,000	90.25	n/a	28-Nov	150.00	3.0
MA CAPITAL MGMT/MELLON ADV041		ROST	S	2,000	90.05	n/a	28-Nov	100.00	5.0
MORTAR ROCK	033	SHAW	B	25,000	24.86	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	SPLS	B	33,600	14.36	n/a	n/a	1,176.13	3.5
PATTEN & PATTEN	025	STI	S	1,500	18.03	n/a	n/a	75.00	5.0
HIGHBRIDGE CAP	041	SWY	SS	13,000	19.94	n/a	n/a	390.00	3.0
FIRST NEW YORK LEDDY	035	S	B	30,000	2.67	n/a	n/a	1,200.00	4.0
TALPION LLC	040	TGT	B	35,000	52.13	n/a	17-Nov	1,400.00	4.0
WEINTRAUB CAPITAL MGT.	040	UTHR	S	50,000	40.87	n/a	n/a	2,000.00	4.0
TUDOR INVESTORS	028	UTIW	B	30,000	14.26	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	WCC	B	5,000	51.85	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		WRC	B	3,000	50.32	n/a	4-Nov	150.00	5.0
TUDOR INVESTORS	028	WY	B	10,000	16.73	n/a	28-Oct	300.00	3.0
<b>TOTAL (Trade Date):</b>								<b>92,350.17</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/01	NEWLAND CAPITAL MGT (NEWLGS)	025	BGC	B	20,000	26.57	n/a	n/a	800.00 4.0
AO,	11/30	CRAMER ROSENTHAL/SCOTT (CRSB2454)	070	VSI	B	300	36.47	n/a	n/a	12.00 4.0
AO,CXL	11/30	CRAMER ROSENTHAL/SCOTT (CRSB2625)	070	VSI	B	300	36.47	n/a	n/a	12.00 4.0
AO,CRT	11/30	THREE G (THEGUBS)	034	WAG	SS	50,000	33.58	n/a	n/a	1500.00 3.0
AO,CXL	11/30	THREE G (THEGMSPB)	034	WAG	SS	50,000	33.58	n/a	n/a	1500.00 3.0

**TOTAL (AO, CXL, CRT) :****800.00**

TOTAL (Trade Date) :

92,350.17

TOTAL (AO, CXL, CRT) :

800.00

**TOTAL (RUN DATE) / NFS :****93,150.17**

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