



## Daily Compliance Activity Report

Trade Date: 10/25/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOROS	036	AA	SS	147,000	10.20	n/a	n/a	4,410.00	3.0
PARTNER REINSURANCE	033	ABV	S	10,400	33.58	n/a	n/a	416.00	4.0
HOPLITE MGMT	025	ACN	C	64,819	58.37	n/a	n/a	2,592.76	4.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	5,000	22.05	n/a	25-Oct	0.00	0.0
PARTNER REINSURANCE	033	AUO	S	1,400	3.99	n/a	n/a	56.00	4.0
PARTNER REINSURANCE	033	BAK	S	1,000	15.77	n/a	n/a	40.00	4.0
PARTNER REINSURANCE	033	BBD	S	14,700	17.35	n/a	n/a	588.00	4.0
PARTNER REINSURANCE	033	BCA	S	200	19.85	n/a	n/a	8.00	4.0
PARTNER REINSURANCE	033	BRFS	S	4,700	19.73	n/a	n/a	188.00	4.0
PARTNER REINSURANCE	033	BSBR	S	5,000	8.39	n/a	n/a	200.00	4.0
CRAMER ROSENTHAL/SCOTT	070	B	S	44,100	22.00	n/a	n/a	1,764.00	4.0
HAMILTON CAP PART FIN	031	CFR	B	1,960	48.35	n/a	n/a	78.40	4.0
OSKIE CAPITAL MGMT	224	COG	B	5,000	69.37	n/a	24-Oct	250.00	5.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	13.98	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARMATURE CAPITAL	041	DAN	S	60,000	13.85	n/a	19-Oct	2,400.00	4.0
HIGHBRIDGE CAP	041	DKS	S	19,000	38.46	n/a	16-Aug	570.00	3.0
MAIRS AND POWER INV	030	EMR	B	10,000	47.19	n/a	n/a	500.00	5.0
NOKOMIS PARTNERS	031	ERII	SS	10,000	3.01	n/a	n/a	200.00	2.0
ROYCE TRADING	031	FINL	B	4,000	20.46	n/a	23-Sep	200.00	5.0
TRELLUS PARTNERS LP	028	F	SS	100,000	12.37	n/a	19-Oct	5,000.00	5.0
BNP PARIBAS SEC	040	IP	B	30,000	26.36	n/a	17-Oct	1,500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	6,000	26.17	n/a	17-Oct	300.00	5.0
OZ MGMT	040	IP	B	125,000	26.31	n/a	17-Oct	3,750.00	3.0
SIMMONS VENTURES	041	JNY	B	5,000	11.93	n/a	28-Jul	200.00	4.0
CASTLE ARK	031	PCAR	B	170,820	42.02	n/a	14-Sep	8,541.00	5.0
LANE GATE PARTNERS LLC	030	PCL	S	4,000	37.15	n/a	25-Oct	120.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	PCL	S	4,300	37.25	n/a	25-Oct	215.00	5.0
HOLLIS CAPITAL	033	PLCE	SS	7,000	47.21	n/a	18-Aug	350.00	5.0
AVESTA CAP	229	PLCM	B	100,000	15.87	n/a	n/a	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>72.64</b>	<b>n/a</b>	<b>21-Oct</b>	<b>300.00</b>	<b>3.0</b>
COLUMBUS CIRCLE	036	REXX	B	4,492	14.38	n/a	n/a	179.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LANE GATE PARTNERS LLC	030	RYN	B	3,700	40.27	n/a	17-Oct	111.00	3.0
MA CAPITAL MGMT/MELLON ADV041		RYN	B	4,000	40.24	n/a	17-Oct	200.00	5.0
FIRST NEW YORK LEDDY	035	S	S	30,000	2.64	n/a	n/a	1,200.00	4.0
STANDARD PACIFIC CAPITAL	084	TPX	SS	75,000	68.38	n/a	n/a	3,750.00	5.0
MERRILL ASSET/BLACKROCK	297	TTI	S	70,200	9.21	n/a	n/a	2,808.00	4.0
ROTHSCHILD ASSET	040	TTI	B	131,759	9.23	n/a	n/a	5,270.36	4.0
BNP PARIBAS SEC	040	USG	S	25,000	9.39	n/a	21-Oct	1,250.00	5.0
HIGHBRIDGE CAP	041	WSM	S	6,500	38.01	n/a	n/a	195.00	3.0
SENATOR INVESTMENT GROUP	036	XLE	SS	100,000	68.50	n/a	n/a	3,000.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>56,101.20</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/20	ROTHSCHILD ASSET (ROTH473)	040	ARE	B	274	64.80	n/a	n/a	10.96 4.0
AO,CRT	10/20	ROTHSCHILD ASSET (ROTH473)	040	ARE	B	274	64.80	n/a	n/a	10.96 4.0
AO,CXL	10/21	ROTHSCHILD ASSET (ROTH473)	040	DAL	B	1,409	8.54	n/a	n/a	56.36 4.0
AO,CRT	10/21	ROTHSCHILD ASSET (ROTH473)	040	DAL	B	1,409	8.54	n/a	n/a	56.36 4.0
AO,CXL	10/21	ROTHSCHILD ASSET (ROTH473)	040	DPL	S	495	30.32	n/a	n/a	19.80 4.0
AO,CRT	10/21	ROTHSCHILD ASSET (ROTH473)	040	DPL	S	495	30.32	n/a	n/a	19.80 4.0
AO,CXL	10/24	ROTHSCHILD ASSET (ROTH473)	040	DPL	S	1,415	30.23	n/a	n/a	56.60 4.0
AO,CRT	10/24	ROTHSCHILD ASSET (ROTH473)	040	DPL	S	1,415	30.23	n/a	n/a	56.60 4.0
AO,CXL	10/21	ROTHSCHILD ASSET (ROTH473)	040	MTB	B	467	74.00	n/a	n/a	18.68 4.0
AO,CRT	10/21	ROTHSCHILD ASSET (ROTH473)	040	MTB	B	467	74.00	n/a	n/a	18.68 4.0
AO,	10/24	COLUMBUS CIRCLE (COLC3050)	036	REXX	B	1,797	14.65	n/a	n/a	71.88 4.0
AO,CXL	10/20	ROTHSCHILD ASSET (ROTH473)	040	SXCI	B	199	55.30	n/a	n/a	7.96 4.0
AO,CRT	10/20	ROTHSCHILD ASSET (ROTH473)	040	SXCI	B	199	55.30	n/a	n/a	7.96 4.0
AO,CXL	10/20	ROTHSCHILD ASSET (ROTH473)	040	WDC	S	1,160	24.52	n/a	n/a	46.40 4.0
AO,CRT	10/20	ROTHSCHILD ASSET (ROTH473)	040	WDC	S	1,160	24.52	n/a	n/a	46.40 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>71.88</b>

TOTAL (Trade Date) :

56,101.20

TOTAL (AO, CXL, CRT):

71.88

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**TOTAL (RUN DATE) / NFS:**

**56,173.08**

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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