



Daily Compliance Activity Report

Trade Date: 11/29/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	AMT	B	40,000	57.68	n/a	n/a	1,200.00	3.0
CADIAN CAPITAL	041	ANF	B	25,000	47.09	n/a	17-Nov	750.00	3.0
TUDOR INVESTORS	028	APD	SS	7,000	79.14	n/a	21-Oct	210.00	3.0
TUDOR INVESTORS	028	ARG	B	5,000	73.17	n/a	27-Oct	150.00	3.0
PERRY PARTNERS	085	ASH	S	30,000	50.25	n/a	22-Nov	1,200.00	4.0
TUDOR INVESTORS	028	AWI	B	3,000	38.55	n/a	n/a	90.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	5,000	8.13	n/a	31-Oct	150.00	3.0
UBS OCONNOR	031	BAC	B	320,000	5.19	n/a	23-Nov	6,400.00	2.0
TUDOR INVESTORS	028	BEAV	B	8,000	36.88	n/a	7-Nov	240.00	3.0
ASCEND PARTNERS	033	BIG	B	39,306	39.15	n/a	29-Nov	1,179.18	3.0
KADE CAPITAL LLC	028	BIG	S	12,500	39.50	n/a	29-Nov	625.00	5.0
KLEINHEINZ CAP PART	031	BIG	B	120,000	39.35	n/a	29-Nov	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	BIG	B	4,000	38.63	n/a	29-Nov	200.00	5.0
OZ MGMT	040	BIG	B	125,000	39.04	n/a	29-Nov	3,750.00	3.0
RBC CAPITAL MARKETS	040	BIG	S	5,000	39.27	n/a	29-Nov	200.00	4.0
WOOSTER CAPITAL	035	BIG	B	15,000	39.07	n/a	29-Nov	750.00	5.0
SURVEYOR CAPITAL	041	CAR	SS	3,500	11.41	n/a	n/a	105.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	CHS	B	50,000	10.27	n/a	5-Feb	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	CLW	B	5,000	33.81	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	COH	B	8,500	60.02	n/a	26-Oct	255.00	3.0
TUDOR INVESTORS	028	COL	SS	3,000	53.35	n/a	7-Nov	90.00	3.0
UBS OCONNOR	031	C	SS	75,000	25.58	n/a	23-Nov	2,250.00	3.0
CHESAPEAKE PARTNERS	028	DMND	B	20,655	28.15	n/a	n/a	619.65	3.0
LISTED ERR	099	DMND	B	10,000	28.06	n/a	n/a	0.00	0.0
LISTED ERR	099	DMND	S	10,000	28.00	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	DOW	SS	5,000	25.51	n/a	1-Nov	150.00	3.0
MERCHANTS GATE CAP LP	036	FDX	S	110,500	79.46	n/a	n/a	4,420.00	4.0
WHITE PINE CAPITAL	030	FL	S	3,600	22.76	n/a	18-Nov	180.00	5.0
TUDOR INVESTORS	028	GE	B	25,000	15.07	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	GE	SS	15,000	14.89	n/a	n/a	450.00	3.0
VISIUM/BALY BOBBY	044	GE	SS	10,000	14.98	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	GLW	B	291,387	13.15	n/a	29-Nov	10,198.58	3.5
HIGHBRIDGE CAP	041	GPS	SS	154,195	17.96	n/a	n/a	4,625.85	3.0
OSKIE CAPITAL MGMT	224	HOS	B	50,000	31.51	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	HPQ	SS	35,000	27.03	n/a	n/a	1,400.00	4.0
BNP PARIBAS SEC	040	ITW	B	30,000	43.49	n/a	26-Oct	1,500.00	5.0
TUDOR INVESTORS	028	ITW	B	5,000	43.85	n/a	26-Oct	150.00	3.0
HIGHBRIDGE CAP	041	JCP	B	17,000	30.28	n/a	28-Nov	510.00	3.0
NICOLAS APPLGATE	084	MSFT	B	20,000	24.90	n/a	n/a	800.00	4.0
SURVEYOR CAPITAL	041	MSI	B	2,500	45.10	n/a	n/a	75.00	3.0
TUDOR INVESTORS	028	MSM	B	10,000	65.12	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	MTW	B	5,000	9.62	n/a	26-Oct	150.00	3.0
VISIUM/BALY BOBBY	044	MT	SS	5,000	16.79	n/a	n/a	250.00	5.0
TUDOR INVESTORS	028	MWV	B	5,000	28.19	n/a	26-Oct	150.00	3.0
SURVEYOR CAPITAL	041	NOC	SS	2,000	55.18	n/a	21-Nov	60.00	3.0
SURVEYOR CAPITAL	041	NSC	S	7,000	73.17	n/a	n/a	210.00	3.0
CRAMER ROSENTHAL/SCOTT	070	NWSA	C	26,400	16.62	n/a	n/a	1,056.00	4.0
KAM ADVISORS LLC	041	OCR	B	45,200	31.48	n/a	n/a	1,356.00	3.0
SURVEYOR CAPITAL	041	PCAR	SS	2,000	38.65	n/a	26-Oct	60.00	3.0
TUDOR INVESTORS	028	PH	S	10,000	80.25	n/a	19-Oct	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	PLCE	SS	15,000	53.21	n/a	22-Nov	600.00	4.0
SURVEYOR CAPITAL	041	PLL	S	2,000	52.15	n/a	n/a	60.00	3.0
TUDOR INVESTORS	028	PPG	SS	2,000	82.88	n/a	20-Oct	60.00	3.0
SCOPUS FUND	041	PVH	B	30,000	67.25	n/a	21-Oct	1,200.00	4.0
SCOPUS FUND	041	RGC	SS	100,000	13.85	n/a	n/a	4,000.00	4.0
HIGHBRIDGE CAP	041	RL	SS	14,000	140.76	n/a	11-Nov	420.00	3.0
BMO NESBITT BURNS	041	SIG	SS	3,000	43.04	n/a	n/a	120.00	4.0
OSKIE CAPITAL MGMT	224	SLM	B	55,000	12.16	n/a	22-Nov	2,750.00	5.0
ROARING BLUE LION MGMT	031	SSI	B	1,887	11.43	n/a	n/a	75.48	4.0
HIGHBRIDGE CAP	041	SWY	SS	220,000	19.08	n/a	n/a	6,600.00	3.0
VISIUM/BALY BOBBY	044	TEX	SS	5,000	13.83	n/a	28-Oct	250.00	5.0
RBC CAPITAL MARKETS	040	TGT	SS	35,000	52.25	n/a	17-Nov	1,400.00	4.0
BMO NESBITT BURNS	041	TIF	B	3,000	66.77	n/a	n/a	120.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	TIF	B	2,000	67.17	n/a	n/a	100.00	5.0
MACQUARIE INVESTMENT MGMT.	040	UNT	SS	2,500	47.05	n/a	10-Nov	0.00	0.0
UBS OCONNOR	031	USB	SS	100,000	24.77	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	VAL	S	66,075	35.73	n/a	n/a	1,982.25	3.0
HOPLITE MGMT	025	WAG	SS	54,949	32.63	n/a	n/a	2,197.96	4.0
TUDOR INVESTORS	028	WCC	SS	5,000	48.02	n/a	n/a	150.00	3.0
UBS OCONNOR	031	WFC	B	100,000	24.21	n/a	23-Nov	3,000.00	3.0
BMO NESBITT BURNS	041	ZLC	SS	20,000	3.41	n/a	n/a	800.00	4.0
SIMMONS VENTURES	041	ZQK	B	10,000	2.85	n/a	10-May	300.00	3.0
TOTAL (Trade Date) :								83,900.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	AA	B	200	9.49	n/a	n/a	30.00	15.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	AA	B	200	9.49	n/a	n/a	30.00	15.0
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	CBL	B	150	13.19	n/a	n/a	30.00	20.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	CBL	B	150	13.19	n/a	n/a	30.00	20.0
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	DRE	B	300	11.02	n/a	n/a	30.00	10.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	DRE	B	300	11.02	n/a	n/a	30.00	10.0
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	JPM	B	200	29.69	n/a	23-Nov	40.00	20.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	JPM	B	200	29.69	n/a	23-Nov	40.00	20.0
AO,CXL	11/22	JENNISON (JENN811)	070	NTAP	B	5,993	34.90	n/a	n/a	221.74	3.7
AO,CRT	11/22	JENNISON (JENN811)	070	NTAP	B	5,993	34.90	n/a	n/a	221.74	3.7
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	NYB	S	200	11.61	n/a	19-Oct	30.00	15.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	NYB	S	200	11.61	n/a	19-Oct	30.00	15.0
CRT	11/29	OSKIE CAPITAL MGMT (OSKIGSPB)	224	SLM	B	55,000	12.16	n/a	22-Nov	2750.00	5.0
AO,CXL	11/28	LATEFF MGMT (LATE536)	035	TEVA	S	75	38.02	n/a	28-Nov	22.50	30.0
AO,CRT	11/28	LATEFF MGMT (LATE5019)	035	TEVA	S	75	38.02	n/a	28-Nov	22.50	30.0
AO,	11/28	COLUMBUS CIRCLE (COLC3040)	036	TPX	B	4,029	53.07	n/a	n/a	161.16	4.0
TOTAL (AO, CXL, CRT) :										2,911.16	

TOTAL (Trade Date):	83,900.95
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TOTAL (RUN DATE) / NFS:	86,812.11
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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