



Daily Compliance Activity Report

Trade Date: 12/02/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	B	10,000	49.86	n/a	17-Nov	300.00	3.0
HIGHBRIDGE CAP	041	ANF	B	5,000	48.59	n/a	17-Nov	150.00	3.0
KACELA CAPITAL	034	AVY	S	58,000	26.85	n/a	2-Dec	2,320.00	4.0
TUDOR INVESTORS	028	AWI	B	5,000	41.30	n/a	n/a	150.00	3.0
SURVEYOR CAPITAL	251	BBBY	SS	33,000	60.99	n/a	n/a	990.00	3.0
EGS ASSOCIATES LP	091	BIG	B	5,000	36.16	n/a	2-Dec	250.00	5.0
BRONSON POINT	036	BUD	SS	10,000	59.39	n/a	10-Nov	300.00	3.0
SCOPUS FUND	041	BUD	B	29,788	59.85	n/a	10-Nov	1,191.52	4.0
MILLRACE FUND LP	028	BWA	SS	2,000	67.84	n/a	9-Nov	80.00	4.0
SURVEYOR CAPITAL	251	CAB	B	40,000	24.42	n/a	n/a	1,200.00	3.0
BUCK CAPITAL MGMT	001	CMG	S	20,000	329.10	n/a	21-Oct	600.00	3.0
SCOPUS FUND	041	COH	S	46,300	62.29	n/a	26-Oct	1,852.00	4.0
OHIO PERS	047	DELL	B	10,300	15.81	n/a	n/a	309.00	3.0
TUDOR INVESTORS	028	DE	B	5,000	77.47	n/a	23-Nov	150.00	3.0
BNP PARIBAS SEC	040	DG	B	20,000	39.84	n/a	1-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAISSE DEPOT PLACEMENT Q	295	DHR	S	100,000	47.90	n/a	n/a	5,000.00	5.0
CHESAPEAKE PARTNERS	028	DMND	B	40,000	29.14	n/a	n/a	1,200.00	3.0
MERRILL ASSET/BLACKROCK	297	DRC	S	6,200	54.32	n/a	n/a	248.00	4.0
SURVEYOR CAPITAL	251	FDO	SS	68,000	59.07	n/a	29-Sep	2,040.00	3.0
CAISSE DEPOT PLACEMENT Q	295	FDX	B	50,000	82.35	n/a	n/a	2,500.00	5.0
STANDARD PACIFIC CAPITAL	084	FL	B	100,000	24.64	n/a	18-Nov	5,000.00	5.0
COLUMBUS CIRCLE	036	FST	B	4,544	16.47	n/a	n/a	50.32	1.6
BUCK CAPITAL MGMT	001	GCO	B	20,000	59.85	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	16,500	29.34	n/a	n/a	660.00	4.0
SURVEYOR CAPITAL	251	GIL	B	70,000	16.80	n/a	2-Dec	2,100.00	3.0
MERRILL ASSET/BLACKROCK	297	HCC	S	9,900	26.65	n/a	n/a	396.00	4.0
NEUBERGER BERMAN	036	HITT	B	23,400	55.08	n/a	n/a	936.00	4.0
OHIO PERS	047	HPQ	S	5,500	28.40	n/a	n/a	165.00	3.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	B	100,000	11.82	n/a	n/a	3,000.00	3.0
BASIX	033	HXL	SS	20,000	24.32	n/a	25-Oct	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	HXL	SS	10,000	24.80	n/a	25-Oct	500.00	5.0
WHITE PINE CAPITAL	030	IFF	S	10,225	53.68	n/a	8-Nov	511.25	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	6,500	28.70	n/a	27-Oct	325.00	5.0
BNP PARIBAS SEC	040	ITW	S	10,000	46.16	n/a	26-Oct	500.00	5.0
TUDOR INVESTORS	028	ITW	B	10,000	46.25	n/a	26-Oct	300.00	3.0
RAINIER INV MGMT	035	IVZ	B	45,330	20.74	n/a	2-Mar	1,813.20	4.0
CAISSE DEPOT PLACEMENT Q	295	JBHT	S	100,000	45.82	n/a	n/a	5,000.00	5.0
CASTLE ARK	031	JCI	B	213,830	31.97	n/a	21-Nov	10,691.50	5.0
SIMMONS VENTURES	041	JNY	SS	5,000	10.49	n/a	27-Oct	200.00	4.0
PERSHING SQUARE	029	KFT	S	401,013	36.52	n/a	n/a	16,040.52	4.0
HIGHBRIDGE CAP	041	KSS	B	5,000	50.99	n/a	2-Dec	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	KSS	SS	5,000	51.25	n/a	2-Dec	0.00	0.0
BALLAST CAP	040	LMT	SS	9,800	77.80	n/a	21-Nov	490.00	5.0
SURVEYOR CAPITAL	251	LOW	B	200,000	24.22	n/a	16-Nov	6,000.00	3.0
CHALSON/MILLENIUM	041	MAR	B	30,000	31.08	n/a	13-Jun	1,200.00	4.0
TUDOR INVESTORS	028	MSM	B	6,000	68.30	n/a	n/a	180.00	3.0
SCOPUS FUND	041	M	S	30,000	32.73	n/a	2-Dec	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	NAV	B	200,000	40.03	n/a	14-Sep	8,000.00	4.0
TUDOR INVESTORS	028	NAV	SS	5,000	40.06	n/a	14-Sep	150.00	3.0
BNP PARIBAS SEC	040	NKE	S	10,000	96.41	n/a	23-Sep	500.00	5.0
BALLAST CAP	040	NOC	SS	13,400	57.01	n/a	21-Nov	670.00	5.0
BNP PARIBAS SEC	040	NOC	SS	20,000	57.09	n/a	21-Nov	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	ORI	B	75,000	9.22	n/a	n/a	3,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	PAG	B	25,000	20.32	n/a	3-Nov	1,000.00	4.0
TUDOR INVESTORS	028	POT	S	5,000	44.22	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	PPG	B	2,000	85.09	n/a	20-Oct	60.00	3.0
MERRILL ASSET/BLACKROCK	297	PRA	S	5,000	78.92	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	72.30	n/a	2-Dec	600.00	3.0
TUDOR INVESTORS	028	RBN	S	2,000	51.62	n/a	n/a	60.00	3.0
SURVEYOR CAPITAL	251	RCL	B	38,000	27.74	n/a	n/a	1,140.00	3.0
BNP PARIBAS SEC	040	ROK	SS	20,000	74.56	n/a	n/a	1,000.00	5.0
CYRUS CAPITAL	025	SCSS	B	55,000	19.75	n/a	n/a	2,200.00	4.0
CYRUS CAPITAL	025	SFD	B	20,000	24.45	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORTAR ROCK	033	SPF	S	100,000	3.17	n/a	n/a	4,000.00	4.0
ROSEDALE CAPITAL	046	STO	B	15,000	25.61	n/a	n/a	750.00	5.0
SURVEYOR CAPITAL	251	SUSQ	S	8,375	8.01	n/a	n/a	251.25	3.0
BASSWOOD PARTNERS	267	TEVA	B	43,600	39.65	n/a	2-Dec	1,744.00	4.0
MERRILL ASSET/BLACKROCK	297	WBS	B	68,700	19.80	n/a	n/a	2,748.00	4.0
HOPLITE MGMT	025	WHR	C	110,000	49.81	n/a	n/a	4,400.00	4.0
CHALSON/MILLENIUM	041	WMT	SS	25,000	58.16	n/a	16-Nov	1,000.00	4.0
TUDOR INVESTORS	028	WNC	SS	5,000	7.44	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	25,000	28.37	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :								116,762.56	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/01	STELLIAM INV ADV (STLLGSBULK)	034	BHI	SS	25,000	55.11	n/a	n/a	1250.00 5.0
AO,CXL	12/01	STELLIAM INV ADV (STLLMSEXEC)	034	BHI	SS	25,000	55.11	n/a	n/a	1250.00 5.0
AO,	12/01	ENTRUST CAPITAL (ENTRMORGAN)	040	KFT	S	3,700	36.50	n/a	n/a	185.00 5.0
AO,	12/01	ENTRUST CAPITAL (ENTRGOLDMA)	040	KFT	S	14,000	36.50	n/a	n/a	700.00 5.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER770152)	036	OEH	B	11,000	7.42	n/a	n/a	440.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER770152)	036	OEH	B	11,000	7.42	n/a	n/a	220.00 2.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER503124)	036	OEH	B	5,000	7.42	n/a	n/a	200.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER503124)	036	OEH	B	5,000	7.42	n/a	n/a	100.00 2.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER502087)	036	OEH	B	10,100	7.42	n/a	n/a	404.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER502087)	036	OEH	B	10,100	7.42	n/a	n/a	202.00 2.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER9W70)	036	OEH	B	33,700	7.42	n/a	n/a	1348.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER9W70)	036	OEH	B	33,700	7.42	n/a	n/a	674.00 2.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER9WF1)	036	OEH	B	3,400	7.42	n/a	n/a	136.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER9WF1)	036	OEH	B	3,400	7.42	n/a	n/a	68.00 2.0
AO,CXL	12/01	NEUBERGER BERMAN (NBER501862)	036	OEH	B	5,000	7.42	n/a	n/a	200.00 4.0
AO,	12/01	NEUBERGER BERMAN (NBER501862)	036	OEH	B	5,000	7.42	n/a	n/a	100.00 2.0
CRT	12/02	ROSEDALE CAPITAL (ROSEJPM)	046	STO	B	15,000	25.61	n/a	n/a	750.00 5.0
TOTAL (AO, CXL, CRT) :										271.00

TOTAL (Trade Date):	116,762.56
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TOTAL (RUN DATE) / NFS:

117,033.56

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