



Daily Compliance Activity Report

Trade Date: 12/08/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	ADM	S	17,993	29.17	n/a	2-Dec	719.72	4.0
GALT INVESTMENT	041	AEO	B	50,000	14.77	n/a	2-Dec	2,500.00	5.0
WALL STREET CAPITAL	084	AEO	B	29,500	14.58	n/a	2-Dec	1,180.00	4.0
THREE G	034	AKAM	B	150,000	27.72	n/a	n/a	4,500.00	3.0
DEVENNY CAP LLC	044	ALV	B	5,000	54.31	n/a	26-Oct	150.00	3.0
MA CAPITAL MGMT/MELLON ADV041		ARCO	S	5,755	22.67	n/a	31-Oct	287.75	5.0
SEVEN LOCKS CAPITAL	025	ASPS	S	5,000	50.16	n/a	n/a	150.00	3.0
CATAPULT	040	ATI	B	224	47.53	n/a	28-Nov	8.96	4.0
TRELLUS PARTNERS LP	028	AXL	SS	3,798	9.38	n/a	31-Oct	113.94	3.0
OZ MGMT	040	BIG	S	116,568	37.12	n/a	2-Dec	3,497.04	3.0
LISTED ERR	099	BWA	B	18,000	69.42	n/a	9-Nov	0.00	0.0
MTB INV ADV	034	CAVM	B	5,150	30.94	n/a	n/a	257.50	5.0
CATAPULT	040	CPO	B	416	50.27	n/a	n/a	16.64	4.0
CATAPULT	040	CSL	B	392	42.56	n/a	n/a	15.68	4.0
ACK ASSET	028	CSX	SS	70,000	21.14	n/a	n/a	2,100.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	C	B	61,200	28.52	n/a	7-Dec	3,060.00	5.0
SONTERRA CAP	041	DG	B	40,000	40.20	n/a	5-Dec	1,600.00	4.0
ETON PARK CAPITAL	041	DLTR	S	48,000	83.34	n/a	22-Nov	1,920.00	4.0
PLATTE RIVER CAPITAL	240	DMAN	S	78,150	13.09	n/a	n/a	3,126.00	4.0
PATTEN & PATTEN	025	DOW	S	10,000	27.18	n/a	2-Dec	500.00	5.0
MTB INV ADV	034	DSW	B	3,075	47.43	n/a	11-Feb	153.75	5.0
CATAPULT	040	FLS	B	68	100.72	n/a	n/a	2.72	4.0
DEVENNY CAP LLC	044	F	B	14,400	10.73	n/a	2-Dec	432.00	3.0
Õ Nilsa Vazquez		GM-A	S	7	12.7000	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		GM-B	S	7	8.9100	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	5,000	21.57	n/a	2-Dec	150.00	3.0
Õ Nilsa Vazquez		GM	S	7	21.3600	n/a	2-Dec	0.00	0.0
OZ MGMT	040	GM	C	40,859	21.09	n/a	2-Dec	1,225.77	3.0
CATAPULT	040	GOOG	B	43	620.26	n/a	n/a	1.72	4.0
SMITH MGMT LLC	029	GRPN	SS	100,000	22.17	n/a	n/a	3,000.00	3.0
NEUBERGER BERMAN	036	HITT	B	11,224	53.41	n/a	n/a	448.96	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	IPHS	B	8,831	48.20	n/a	n/a	353.24	4.0
Õ Nilsa Vazquez		JNPR	B	500	20.3480	n/a	n/a	0.00	0.0
CATAPULT	040	JOY	B	165	87.49	n/a	14-Sep	6.60	4.0
MA CAPITAL MGMT/MELLON ADV	041	KSS	B	3,000	51.03	n/a	2-Dec	150.00	5.0
CATAPULT	040	MAS	B	1,667	9.10	n/a	n/a	66.68	4.0
CATAPULT	040	MGM	B	1,253	10.01	n/a	13-Jun	50.12	4.0
NORTHWESTERN MUTUAL LIFE	047	MMM	B	49,500	80.87	n/a	7-Dec	1,980.00	4.0
DEVENNY CAP LLC	044	MOS	B	11,900	51.88	n/a	n/a	357.00	3.0
CATAPULT	040	MSA	B	306	32.98	n/a	n/a	12.24	4.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	B	82,600	25.45	n/a	n/a	3,304.00	4.0
HOPLITE MGMT	025	MS	S	60,883	16.57	n/a	5-Dec	2,435.32	4.0
ROSEDALE CAPITAL	046	MTOR	B	45,000	5.88	n/a	n/a	1,350.00	3.0
CATAPULT	040	MTW	B	679	10.85	n/a	26-Oct	27.16	4.0
CATAPULT	040	MWV	B	645	28.69	n/a	26-Oct	25.80	4.0
CATAPULT	040	NUE	B	257	39.63	n/a	n/a	10.28	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOROS	036	OSG	C	116,500	9.46	n/a	n/a	4,660.00	4.0
CATAPULT	040	R	B	162	52.44	n/a	n/a	6.48	4.0
MTB INV ADV	034	SOA	S	41,075	15.29	n/a	n/a	2,053.75	5.0
RESERVOIR CAPITAL GROUP LLC	060	SPY	B	26,000	125.39	n/a	n/a	780.00	3.0
MELLON/BANK OF NEW YORK	046	TMO	S	225,000	45.55	n/a	n/a	9,000.00	4.0
IRIDIAN ASSET MGMT.	036	VRX	S	20,450	45.66	n/a	n/a	1,022.50	5.0
CATAPULT	040	WSM	B	461	38.24	n/a	n/a	18.44	4.0
CATAPULT	040	XPO	B	1,000	11.41	n/a	n/a	40.00	4.0
CATAPULT	040	ZINC	B	836	8.89	n/a	n/a	33.44	4.0
TUDOR INVESTORS	028	ZUMZ	B	62,500	29.81	n/a	n/a	1,875.00	3.0
TOTAL (Trade Date) :								60,736.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/08	ROSEDALE CAPITAL (ROSEJPM)	046	MTOR	B	45,000	5.88	n/a	n/a	1350.00 3.0
AO,CRT	12/07	HARVEST MGMT (HARVGSCO)	029	URBN	B	5,000	26.97	n/a	n/a	200.00 4.0
AO,CXL	12/07	HARVEY PARTNERS (HARPGSPB)	086	URBN	B	5,000	26.97	n/a	n/a	150.00 3.0

TOTAL (AO, CXL, CRT) :	1,400.00
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TOTAL (Trade Date) :	60,736.20
TOTAL (AO, CXL, CRT) :	1,400.00

TOTAL (RUN DATE) / NFS:	62,136.20
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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