



Daily Compliance Activity Report

Trade Date: 10/24/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	ALL	S	500	27.03	n/a	n/a	50.00	10.0
BARON ASSET MGMT*	085	ARCO	B	75,000	22.35	n/a	17-Oct	3,000.00	4.0
TRUSTCO/SUNTRUST	040	ARCO	B	18,782	22.51	n/a	17-Oct	657.38	3.5
ASCEND PARTNERS	033	BIG	S	50,000	38.18	n/a	25-Aug	1,500.00	3.0
FIRST NY SEC/CHRIS	041	BYD	B	20,000	6.48	n/a	n/a	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	B	S	176,550	22.53	n/a	n/a	7,062.00	4.0
MILLENNIUM-ANDEW	031	CAT	S	10,000	91.50	n/a	14-Sep	600.00	6.0
OSKIE CAPITAL MGMT	224	COG	B	10,000	70.62	n/a	24-Oct	500.00	5.0
KLEINHEINZ CAP PART	031	COST	B	20,000	84.88	n/a	n/a	1,000.00	5.0
MERCHANTS GATE CAP LP	036	COST	C	24,000	84.79	n/a	n/a	960.00	4.0
ACK ASSET	028	DAN	B	171,500	14.27	n/a	19-Oct	5,145.00	3.0
ROTHSCHILD ASSET	040	DPL	S	6,082	30.23	n/a	n/a	243.28	4.0
MERRILL ASSET/BLACKROCK	297	EQT	S	13,000	67.78	n/a	n/a	520.00	4.0
MILLENNIUM-ANDEW	031	ETN	S	25,000	44.04	n/a	24-Oct	1,500.00	6.0
LATEFF MGMT	035	FDX	S	250	81.40	n/a	n/a	62.50	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	F	B	100,000	12.41	n/a	19-Oct	3,000.00	3.0
SANDLER CAPITAL	028	GES	C	240,000	33.16	n/a	21-Oct	12,000.00	5.0
AVESTA CAP	229	GE	S	500,000	16.42	n/a	n/a	15,000.00	3.0
BASIX	033	GPI	SS	10,500	44.26	n/a	19-Oct	315.00	3.0
IRIDIAN ASSET MGMT.	036	GWW	C	15,200	171.46	n/a	18-Oct	456.00	3.0
TUDOR INVESTORS	028	HBI	SS	45,000	27.00	n/a	21-Oct	1,350.00	3.0
TUDOR INVESTORS	028	HBI	S	25,000	26.84	n/a	21-Oct	750.00	3.0
RBC CAPITAL MARKETS	040	HD	S	10,000	37.01	n/a	16-Aug	400.00	4.0
BNP PARIBAS SEC	040	JCP	SS	50,000	33.91	n/a	13-Oct	2,500.00	5.0
THE JAY GOLDMAN	028	JCP	S	20,000	34.30	n/a	13-Oct	800.00	4.0
THIRD POINT MGMT	044	JCP	C	50,000	33.99	n/a	13-Oct	2,000.00	4.0
BASIX	033	JNY	S	46,000	12.26	n/a	28-Jul	1,380.00	3.0
BNP PARIBAS SEC	040	JOSB	SS	5,000	52.62	n/a	n/a	250.00	5.0
LATEFF MGMT	035	JPM	S	500	34.30	n/a	13-Oct	50.00	10.0
MATRIX ASSET ADV.	091	JPM	S	7,300	34.33	n/a	13-Oct	292.00	4.0
HIGHBRIDGE CAP	041	KSS	S	5,000	55.00	n/a	7-Oct	150.00	3.0
THE JAY GOLDMAN	028	KSS	B	20,000	55.18	n/a	7-Oct	800.00	4.0
THE JAY GOLDMAN	028	KSS	SS	10,000	55.00	n/a	7-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	LOW	B	23,000	22.38	n/a	17-Oct	690.00	3.0
CADIAN CAPITAL	041	LULU	B	79,000	53.18	n/a	12-Sep	2,370.00	3.0
NUVEEN - US BANCORP		030	LZB	B	21,713	9.48	n/a	n/a	977.09 4.5
CATAPULT	040	MPC	S	25,000	37.31	n/a	n/a	1,000.00	4.0
CAMBIAR CAP	046	NAV	S	21,810	42.81	n/a	14-Sep	872.40	4.0
BLUEMAR CAPITAL MANAGEMENT	029	NTRS	SS	10,300	40.53	n/a	19-Oct	309.00	3.0
PAW PARTNERS	025	N	B	15,000	37.32	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	297	OAS	S	14,200	32.79	n/a	n/a	568.00	4.0
LATEFF MGMT	035	OI	B	150	19.66	n/a	n/a	30.00	20.0
LATEFF MGMT	035	OI	S	1,500	19.65	n/a	n/a	150.00	10.0
FARBER/WEISS PECK	085	PCH	S	25,000	34.28	n/a	24-Oct	1,000.00	4.0
HIGHBRIDGE CAP	041	PETM	S	10,535	47.41	n/a	n/a	316.05	3.0
ROYCE TRADING	031	PLCE	B	2,000	45.43	n/a	18-Aug	100.00	5.0
MERRILL ASSET/BLACKROCK	297	PRA	S	5,400	77.52	n/a	n/a	216.00	4.0
EGS ASSOCIATES LP	091	PVH	SS	800	73.43	n/a	21-Oct	40.00	5.0
MERRILL ASSET/BLACKROCK	297	RGA	S	6,700	54.05	n/a	n/a	268.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	030	RRR	B	30,000	9.59	n/a	21-Oct	900.00	3.0
SENATOR INVESTMENT GROUP	036	SEE	S	2,700	17.60	n/a	2-Jun	81.00	3.0
ROARING BLUE LION MGMT	031	SSI	S	9,900	16.37	n/a	n/a	396.00	4.0
HIGHBRIDGE CAP	041	SWY	SS	28,000	19.00	n/a	n/a	840.00	3.0
NUVEEN - US BANCORP		030	TEN	S	8,092	35.50	n/a	n/a	364.14 4.5
MERRILL ASSET/BLACKROCK	297	TESO	S	24,439	14.70	n/a	n/a	977.56	4.0
LATEFF MGMT	035	TEVA	B	75	39.19	n/a	24-Oct	24.00	32.0
HIGHBRIDGE CAP	041	TGT	S	37,000	54.90	n/a	6-Oct	1,110.00	3.0
PAW PARTNERS	025	THI	B	12,000	50.50	n/a	n/a	600.00	5.0
HIGHBRIDGE CAP	041	TIF	B	3,345	74.73	n/a	n/a	100.35	3.0
LATEFF MGMT	035	TRV	S	100	57.74	n/a	n/a	30.00	30.0
NEWLAND CAPITAL MGT	025	TSO	SS	80,000	25.86	n/a	n/a	3,200.00	4.0
TRUSTCO/SUNTRUST	040	T	B	59,362	28.96	n/a	n/a	2,077.69	3.5
TALPION LLC	040	VFC	SS	5,000	138.50	n/a	21-Oct	200.00	4.0
VISIUM/BALY BOBBY	044	VLO	S	20,000	23.80	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LIONEYE CAPITAL	040	WMB	S	10,000	30.35	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	25,000	48.99	n/a	21-Oct	750.00	3.0
FIRST NY SEC/CHRIS	041	WRC	SS	10,000	48.73	n/a	21-Oct	400.00	4.0
VISIUM/BALY BOBBY	044	XLI	SS	10,000	33.02	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								89,000.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/21	FORTRESS INVESTMENT (US) (FORTMS)	036	CFR	B	31,500	48.31	n/a	n/a	1260.00 4.0
AO,CXL	10/21	FORTRESS INVESTMENT (US) (FORTGS)	036	CFR	B	31,500	48.31	n/a	n/a	1260.00 4.0
AO,CXL	10/21	ACK ASSET (ACKAMS)	028	DAN	B	42,939	13.52	n/a	19-Oct	1288.17 3.0
AO,CRT	10/21	ACK ASSET (ACKAMS)	028	DAN	B	42,039	13.52	n/a	19-Oct	1261.17 3.0
AO,CXL	10/21	ACK ASSET (ACKABEARPB)	028	DAN	B	57,061	13.52	n/a	19-Oct	1711.83 3.0
AO,CRT	10/21	ACK ASSET (ACKABEARPB)	028	DAN	B	57,961	13.52	n/a	19-Oct	1738.83 3.0
CRT	10/24	BASIX (BASIUBS)	033	JNY	S	27,400	12.26	n/a	28-Jul	822.00 3.0
CRT	10/24	BASIX (BASIBARC)	033	JNY	S	18,600	12.26	n/a	28-Jul	558.00 3.0
AO,CXL	10/21	NEW JERSEY DIV OF INV. (NEWJ5140)	030	RTN	B	55,000	43.67	n/a	17-Oct	2200.00 4.0
AO,CRT	10/21	NEW JERSEY DIV OF INV. (NEWJ5140)	030	RTN	B	55,000	43.67	n/a	17-Oct	2200.00 4.0
AO,	10/21	MERRILL ASSET/BLACKROCK (MERR22)	297	TESO	S	2,700	14.51	n/a	n/a	108.00 4.0
AO,	10/21	MERRILL ASSET/BLACKROCK (MERR700)	297	TESO	S	11,588	14.51	n/a	n/a	463.52 4.0
TOTAL (AO, CXL, CRT) :										1,951.52
TOTAL (Trade Date):										89,000.44
TOTAL (AO, CXL, CRT):										1,951.52
TOTAL (RUN DATE) / NFS:										90,951.96

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