



Daily Compliance Activity Report

Trade Date: 11/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	AGCO	SS	8,000	41.68	n/a	26-Oct	240.00	3.0
SIMMONS VENTURES	041	ARO	B	5,000	15.12	n/a	4-Nov	200.00	4.0
ARSENAL ASSET MANAGEMENT	028	ASH	B	5,000	49.80	n/a	22-Nov	200.00	4.0
BMO NESBITT BURNS	041	BIG	B	2,000	36.26	n/a	3-Nov	100.00	5.0
RBC CAPITAL MARKETS	040	BIG	B	10,000	36.71	n/a	3-Nov	400.00	4.0
MILLRACE FUND LP	028	BWA	SS	2,000	62.23	n/a	9-Nov	80.00	4.0
COPIA CAPITAL	031	CBE	S	20,284	52.40	n/a	21-Oct	709.95	3.5
ARSENAL ASSET MANAGEMENT	028	CMI	SS	10,000	87.96	n/a	26-Oct	400.00	4.0
CYPRESS CAP MGMT LLC	040	COH	B	7,300	59.25	n/a	26-Oct	292.00	4.0
CRAMER ROSENTHAL/SCOTT	070	COLM	C	10,800	46.41	n/a	n/a	432.00	4.0
HAMILTON CAP PART FIN	031	CRBC	S	17,550	9.84	n/a	n/a	702.00	4.0
SURVEYOR CAPITAL	041	DE	B	5,000	74.20	n/a	23-Nov	150.00	3.0
BMO NESBITT BURNS	041	DG	S	2,000	39.03	n/a	19-Oct	100.00	5.0
CAISSE DEPOT PLACEMENT Q	295	ERTS	B	20,000	21.31	n/a	n/a	600.00	3.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	132,625	21.50	n/a	18-Nov	3,978.75	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
OHIO PERS	047	FRX	B	34,230	28.90	n/a	21-Nov	1,026.90	3.0	
WEINTRAUB CAPITAL MGT.	040	HES	SS	50,000	56.42	n/a	n/a	2,000.00	4.0	
CYPRESS CAP MGMT LLC	040	HGG	SS	15,100	14.33	n/a	n/a	604.00	4.0	
BNP PARIBAS SEC	040	HXL	SS	20,000	22.34	n/a	25-Oct	1,000.00	5.0	
COPIA CAPITAL	031	JBHT	B	32,371	42.87	n/a	n/a	1,132.99	3.5	
RAIL-SPLITTER	031	JCI	B	140,000	28.10	n/a	21-Nov	7,000.00	5.0	
MFP INVESTORS	085	JNS	B	10,000	5.90	n/a	n/a	400.00	4.0	
MILLENNIUM-ANDEW	031	JOYG	B	5,000	79.89	n/a	14-Sep	300.00	6.0	
ROSEDALE CAPITAL	046	KEG	B	10,000	12.70	n/a	2-Nov	400.00	4.0	
COPIA CAPITAL	031	LEA	B	30,792	40.21	n/a	31-Oct	1,077.73	3.5	
COPIA CAPITAL	031	MDR	C	60,000	10.32	n/a	n/a	2,100.01	3.5	
MACQUARIE INVESTMENT MGMT.	040	MW	SS	5,000	26.92	n/a	n/a	0.00	0.0	
SCOPUS FUND	041	MW	SS	27,000	26.98	n/a	n/a	1,080.00	4.0	
SIMMONS VENTURES	041	M	B	5,000	29.70	n/a	10-Nov	200.00	4.0	
COPIA CAPITAL	031	ODFL	C	40,892	35.67	n/a	n/a	1,431.23	3.5	
WEISS PECK - ROBECO INV		040	PAG	S	34,510	18.69	n/a	3-Nov	1,725.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHESAPEAKE PARTNERS	028	PSS	B	25,000	11.50	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	RL	B	5,000	140.36	n/a	11-Nov	150.00	3.0
ROARING BLUE LION MGMT	031	SSI	B	11,200	11.90	n/a	n/a	448.00	4.0
HAMILTON CAP PART FIN	031	STSA	B	6,000	14.87	n/a	n/a	240.00	4.0
PROSPECTOR PARTNERS LLC	036	TWGP	SS	31,700	20.01	n/a	n/a	1,268.00	4.0
COPIA CAPITAL	031	WMB	SS	50,000	29.46	n/a	n/a	1,750.01	3.5
MACQUARIE INVESTMENT MGMT.	040	WMB	B	3,500	29.48	n/a	n/a	0.00	0.0
CYPRESS CAP MGMT LLC	040	WSM	B	29,600	35.28	n/a	n/a	1,184.00	4.0
SCOPUS FUND	041	WSM	SS	29,978	35.41	n/a	n/a	1,199.12	4.0
SIMMONS VENTURES	041	ZQK	B	20,000	2.88	n/a	10-May	600.00	3.0
TOTAL (Trade Date) :								37,652.19	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/21	STELLIAM INV ADV (STLLGSBULK)	034	NWSA	B	40,000	16.06	n/a	n/a	2000.00 5.0
AO,CXL	11/21	STELLIAM INV ADV (STLLMSEXEC)	034	NWSA	B	40,000	16.06	n/a	n/a	2000.00 5.0
AO,CRT	11/21	STELLIAM INV ADV (STLLGSBULK)	034	PLD	B	25,000	26.24	n/a	n/a	1250.00 5.0
AO,CXL	11/21	STELLIAM INV ADV (STLLMSEXEC)	034	PLD	B	25,000	26.24	n/a	n/a	1250.00 5.0
AO,CXL	11/22	BROADARCH CAP/OLD NEWC (BROAJPM)	070	XLE	S	40	66.09	n/a	n/a	1.60 4.0
AO,CRT	11/22	BROADARCH CAP/OLD NEWC (BROAJPM)	070	XLE	S	90	66.09	n/a	n/a	3.60 4.0
AO,CXL	11/22	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	XLE	S	960	66.09	n/a	n/a	38.40 4.0
AO,CRT	11/22	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	XLE	S	910	66.09	n/a	n/a	36.40 4.0
CRT	11/23	SIMMONS VENTURES (SIMMJPM)	041	ZQK	B	20,000	2.88	n/a	10-May	600.00 3.0

TOTAL (AO, CXL, CRT) :	600.00
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TOTAL (Trade Date):	37,652.19
TOTAL (AO, CXL, CRT):	600.00

TOTAL (RUN DATE) / NFS:	38,252.19
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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