



Daily Compliance Activity Report

Trade Date: 12/12/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	CAM	S	212,500	49.94	n/a	n/a	8,500.00	4.0
CHESAPEAKE PARTNERS	028	CMC	B	6,600	14.00	n/a	n/a	198.00	3.0
ACK ASSET	028	CSX	SS	70,000	20.71	n/a	n/a	2,100.00	3.0
SURVEYOR CAPITAL	251	DE	SS	3,000	76.17	n/a	23-Nov	90.00	3.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	23.98	n/a	8-Dec	1,250.00	5.0
NOKOMIS PARTNERS	031	EXTR	B	39,200	2.91	n/a	n/a	784.00	2.0
PARKWEST	084	GME	S	50,000	24.64	n/a	n/a	2,000.00	4.0
OZ MGMT	040	GM	C	29,141	20.64	n/a	2-Dec	874.23	3.0
ROXBURY CAPITAL MGMT	035	HBI	S	50,540	22.92	n/a	30-Nov	1,516.20	3.0
SCOPUS FUND	041	HD	S	140,000	39.61	n/a	8-Dec	5,600.00	4.0
SIMMONS VENTURES	041	HWD	B	20,000	10.57	n/a	n/a	800.00	4.0
VISIUM/BALY BOBBY	044	IP	SS	10,000	27.62	n/a	27-Oct	500.00	5.0
PZENA INV ADV	044	JCP	S	60,400	33.08	n/a	2-Dec	2,114.03	3.5
SURVEYOR CAPITAL	251	NAV	B	7,000	37.52	n/a	14-Sep	210.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LONG POND	029	PCL	B	70,000	35.22	n/a	25-Oct	3,500.00	5.0
TALPION LLC	040	PRISB	S	5,520	4.92	n/a	n/a	110.40	2.0
LISTED ERR	099	PRISB	B	5,520	4.92	n/a	n/a	0.00	0.0
LISTED ERR	099	PRISB	S	5,520	4.92	n/a	n/a	0.00	0.0
TALPION LLC	040	PRIS	C	5,520	4.42	n/a	n/a	110.40	2.0
RAINIER INV MGMT	035	RJF	S	48,600	29.71	n/a	n/a	1,944.00	4.0
RAINIER INV MGMT	035	ROG	S	11,050	39.64	n/a	n/a	442.00	4.0
ETON PARK CAPITAL	041	SPY	B	436,046	123.60	n/a	n/a	13,081.38	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.40	n/a	n/a	800.00	4.0
ROSEDALE CAPITAL	046	UNG	S	50,000	7.16	n/a	n/a	1,500.00	3.0
TALPION LLC	040	VCI	C	9,000	20.72	n/a	n/a	360.00	4.0
KLEINHEINZ CAP PART	031	WFM	SS	20,000	68.00	n/a	n/a	1,000.00	5.0
MILLENNIUM PARTNERS ICSUS	041	WFT	S	305,000	13.98	n/a	n/a	12,200.00	4.0
LONG POND	029	WY	S	215,000	16.59	n/a	28-Oct	10,750.00	5.0
TOTAL (Trade Date) :								72,334.64	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/12	SIMMONS VENTURES (SIMMJPM)	041	HWD	B	20,000	10.57	n/a	n/a	800.00 4.0
AO,	12/09	COLUMBUS CIRCLE (COLC3050)	036	PANL	B	414	41.35	n/a	n/a	16.56 4.0
AO,	12/09	COLUMBUS CIRCLE (COLC3050)	036	PANL	B	1,686	40.83	n/a	n/a	67.44 4.0
CRT	12/12	ROSEDALE CAPITAL (ROSEJPM)	046	UNG	S	50,000	7.16	n/a	n/a	1500.00 3.0

TOTAL (AO, CXL, CRT) :**2,384.00**

TOTAL (Trade Date) :

72,334.64

TOTAL (AO, CXL, CRT) :

2,384.00

TOTAL (RUN DATE) / NFS:**74,718.64**

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