



## Daily Compliance Activity Report

Trade Date: 11/01/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	30	398.50	n/a	n/a	0.90	3.0
NEWLAND CAPITAL MGT	025	AIMC	S	12,500	15.33	n/a	n/a	500.00	4.0
WINSLOW CAPITAL	030	AMTD	S	170	16.51	n/a	n/a	5.10	3.0
WINSLOW CAPITAL	030	AMT	S	80	56.05	n/a	n/a	2.40	3.0
WINSLOW CAPITAL	030	AMZN	S	40	209.55	n/a	n/a	1.20	3.0
BALYASNY ASSET MGMT	044	ANF	SS	10,000	73.25	n/a	28-Oct	500.00	5.0
FIRST NY SEC/CHRIS	041	ANF	SS	7,000	74.01	n/a	28-Oct	280.00	4.0
WINSLOW CAPITAL	030	ANF	S	40	74.05	n/a	28-Oct	1.20	3.0
CATAPULT	040	APC	B	5,582	77.19	n/a	1-Nov	223.28	4.0
CATAPULT CAP/DEFRANCO	040	AXL	SS	17,170	9.29	n/a	31-Oct	686.80	4.0
MERRILL ASSET/BLACKROCK	297	BBG	S	9,700	39.41	n/a	n/a	388.00	4.0
WINSLOW CAPITAL	030	BEN	S	30	101.22	n/a	2-Mar	0.90	3.0
BALYASNY ASSET MGMT	044	BG	C	50,000	60.90	n/a	n/a	2,500.00	5.0
WINSLOW CAPITAL	030	BIDU	S	40	135.50	n/a	n/a	1.20	3.0
MERRILL ASSET/BLACKROCK	297	BOH	S	11,100	40.86	n/a	n/a	444.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	BTU	S	40	40.27	n/a	n/a	1.20	3.0
DEVENNY CAP LLC	044	BWA	SS	5,000	74.53	n/a	31-Oct	150.00	3.0
OZ MGMT	040	BWA	C	130,000	73.82	n/a	31-Oct	3,900.00	3.0
WINSLOW CAPITAL	030	BWA	S	40	74.23	n/a	31-Oct	1.20	3.0
JET CAPITAL/CHRIS	041	CCI	S	50,000	41.38	n/a	n/a	1,500.00	3.0
CATAPULT CAP/DEFRANCO	040	CCK	B	8,580	32.86	n/a	n/a	343.20	4.0
ROTHSCHILD ASSET	040	CCK	S	25,016	32.87	n/a	n/a	1,000.64	4.0
WINSLOW CAPITAL	030	CELG	S	70	63.45	n/a	n/a	2.10	3.0
WINSLOW CAPITAL	030	CERN	S	40	62.17	n/a	n/a	1.20	3.0
CATAPULT	040	CHK	B	25,000	26.80	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	CHRW	S	50	67.33	n/a	n/a	1.50	3.0
BALYASNY ASSET MGMT	044	CHS	SS	50,000	12.25	n/a	5-Feb	2,500.00	5.0
WINSLOW CAPITAL	030	CLF	S	110	65.67	n/a	n/a	3.30	3.0
WINSLOW CAPITAL	030	CME	S	10	263.04	n/a	28-Apr	0.30	3.0
CAPITAL GROWTH MGMT.	241	CMI	S	70,000	94.79	n/a	26-Oct	3,500.00	5.0
TALPION LLC	040	COST	B	5,000	83.54	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	COST	S	40	83.26	n/a	n/a	1.20	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CRM	S	20	129.71	n/a	n/a	0.60	3.0
CAERUS GLOBAL	041	CSTR	B	2,100	46.81	n/a	n/a	84.00	4.0
WINSLOW CAPITAL	030	CTRP	S	50	33.82	n/a	n/a	1.50	3.0
WINSLOW CAPITAL	030	CTSH	S	110	70.71	n/a	n/a	3.30	3.0
WINSLOW CAPITAL	030	CTXS	S	50	71.47	n/a	n/a	1.50	3.0
WINSLOW CAPITAL	030	CXO	S	50	92.30	n/a	n/a	1.50	3.0
WINSLOW CAPITAL	030	DE	S	70	72.96	n/a	14-Sep	2.10	3.0
WINSLOW CAPITAL	030	DHR	S	220	47.49	n/a	n/a	6.60	3.0
RAIL-SPLITTER	031	DKS	B	15,100	38.39	n/a	16-Aug	755.00	5.0
WINSLOW CAPITAL	030	ECL	S	70	52.88	n/a	25-Oct	2.10	3.0
WINSLOW CAPITAL	030	EL	S	40	95.34	n/a	16-Aug	1.20	3.0
WINSLOW CAPITAL	030	EMC	S	370	24.02	n/a	n/a	11.10	3.0
WINSLOW CAPITAL	030	ESRX	S	140	44.53	n/a	n/a	4.20	3.0
UBS OCONNOR	031	EVR	C	25,000	26.40	n/a	n/a	750.00	3.0
WINSLOW CAPITAL	030	EW	S	100	73.67	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	FCX	B	60,330	38.61	n/a	n/a	2,413.20	4.0
WINSLOW CAPITAL	030	FLR	S	90	54.78	n/a	n/a	2.70	3.0
MA CAPITAL MGMT/MELLON ADV	041	FOR	B	10,000	12.23	n/a	17-Oct	400.00	4.0
WINSLOW CAPITAL	030	FTI	S	220	43.13	n/a	n/a	6.60	3.0
OZ MGMT	040	F	B	618,471	11.36	n/a	31-Oct	18,554.13	3.0
OZ MGMT	040	F	C	450,000	11.20	n/a	31-Oct	13,500.00	3.0
OZ MGMT	040	F	S	293,471	11.19	n/a	31-Oct	8,804.13	3.0
TRELLUS PARTNERS LP	028	F	C	50,000	11.20	n/a	31-Oct	2,500.00	5.0
WINSLOW CAPITAL	030	GIS	S	80	38.08	n/a	n/a	2.40	3.0
FIRST NY SEC/CHRIS	041	GM	SS	10,000	24.19	n/a	31-Oct	500.00	5.0
SONTERRA CAP	041	GM	SS	50,000	23.67	n/a	31-Oct	2,000.00	4.0
WINSLOW CAPITAL	030	GOOG	S	20	581.10	n/a	n/a	0.60	3.0
CAMBIAR CAP	046	HSP	B	147,595	30.92	n/a	31-Oct	5,903.80	4.0
SENATOR INVESTMENT GROUP	036	HUN	B	150,000	11.23	n/a	n/a	4,500.00	3.0
WINSLOW CAPITAL	030	ICE	S	40	125.18	n/a	n/a	1.20	3.0
WINSLOW CAPITAL	030	INTU	S	70	52.82	n/a	n/a	2.10	3.0
BMO NESBITT BURNS	041	IP	B	3,000	27.24	n/a	27-Oct	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEY PARTNERS	086	IP	B	40,000	26.98	n/a	27-Oct	2,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	6,000	27.22	n/a	27-Oct	300.00	5.0
WINSLOW CAPITAL	030	ISRG	S	10	423.50	n/a	n/a	0.30	3.0
WINSLOW CAPITAL	030	ITW	S	70	47.03	n/a	26-Oct	2.10	3.0
BALYASNY ASSET MGMT	044	JCI	SS	25,000	31.03	n/a	27-Oct	1,250.00	5.0
WEISS PECK - ROBECO INV		040	JPM	B	10,300	32.84	n/a	13-Oct	515.00
WINSLOW CAPITAL	030	JPM	S	90	32.90	n/a	13-Oct	2.70	3.0
ROSEDALE CAPITAL	046	KEG	B	20,000	11.95	n/a	20-Sep	800.00	4.0
UBS OCONNOR	031	LAZ	S	25,000	26.24	n/a	27-Oct	750.00	3.0
CATAPULT CAP/DEFRANCO	040	LEN	B	10,370	16.00	n/a	n/a	414.80	4.0
MACQUARIE INVESTMENT MGMT.	040	LPNT	B	5,000	38.30	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	LVS	S	110	46.56	n/a	13-Jun	3.30	3.0
MERRILL ASSET/BLACKROCK	297	MCY	B	51,900	42.39	n/a	n/a	2,076.00	4.0
<b>Õ Abram Chappel</b>		<b>MIPS</b>	<b>S</b>	<b>340</b>	<b>5.3146</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	MMM	SS	20,000	77.41	n/a	25-Oct	1,000.00	5.0
KLEINHEINZ CAP PART	031	MMM	S	50,000	77.36	n/a	25-Oct	2,500.00	5.0
WINSLOW CAPITAL	030	MON	S	130	71.65	n/a	19-Oct	3.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	MPC	B	300,000	36.04	n/a	n/a	12,000.00	4.0
CHALSON/MILLENIUM	041	MTN	SS	25,000	42.76	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	MWV	SS	3,000	27.30	n/a	26-Oct	150.00	5.0
CATAPULT CAP/DEFRANCO	040	NAV	B	5,600	40.93	n/a	14-Sep	224.00	4.0
ROTHSCHILD ASSET	040	NDAQ	B	70,404	24.83	n/a	n/a	2,816.16	4.0
WINSLOW CAPITAL	030	NTAP	S	60	39.70	n/a	n/a	1.80	3.0
CATAPULT CAP/DEFRANCO	040	NWL	B	21,200	15.06	n/a	n/a	848.00	4.0
WINSLOW CAPITAL	030	ORCL	S	240	32.07	n/a	n/a	7.20	3.0
WINSLOW CAPITAL	030	ORLY	S	40	76.04	n/a	n/a	1.20	3.0
WINSLOW CAPITAL	030	OXY	S	70	89.54	n/a	n/a	2.10	3.0
WINSLOW CAPITAL	030	PCLN	S	10	494.60	n/a	n/a	0.30	3.0
BMO NESBITT BURNS	041	PKG	SS	3,000	25.51	n/a	18-Oct	150.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	B	20,000	25.22	n/a	18-Oct	800.00	4.0
CAPITAL GROWTH MGMT.	241	PM	B	95,000	68.48	n/a	n/a	4,750.00	5.0
SCOPUS FUND	041	POT	B	30,000	45.82	n/a	n/a	1,200.00	4.0
WINSLOW CAPITAL	030	PRGO	S	30	89.33	n/a	31-Oct	0.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	PXP	S	5,000	30.55	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	QCOM	S	200	50.45	n/a	n/a	6.00	3.0
BRONSON POINT	036	RAH	S	15,000	80.53	n/a	n/a	450.00	3.0
KACELA CAPITAL	034	RCII	B	62,900	34.41	n/a	n/a	2,516.00	4.0
TALPION LLC	040	RDEN	B	2,177	32.66	n/a	31-Aug	87.08	4.0
MERRILL ASSET/BLACKROCK	297	RE	B	8,900	88.81	n/a	n/a	356.00	4.0
BMO NESBITT BURNS	041	RKT	B	2,000	58.09	n/a	17-Oct	100.00	5.0
COOPER CREEK PART	028	RKT	B	11,200	57.53	n/a	17-Oct	448.00	4.0
WINSLOW CAPITAL	030	RL	S	20	156.51	n/a	21-Oct	0.60	3.0
WINSLOW CAPITAL	030	RRC	S	10	67.39	n/a	26-Oct	0.30	3.0
WINSLOW CAPITAL	030	SBUX	S	90	41.55	n/a	3-Oct	2.70	3.0
WINSLOW CAPITAL	030	SHPGY	S	80	92.42	n/a	31-Oct	2.40	3.0
WINSLOW CAPITAL	030	SLB	S	110	69.77	n/a	n/a	3.30	3.0
COUGAR TRADING	044	SMG	SS	2,500	47.04	n/a	10-Oct	125.00	5.0
MACQUARIE INVESTMENT MGMT.	040	SMG	SS	5,000	46.75	n/a	10-Oct	0.00	0.0
COLUMBUS CIRCLE	036	STMP	B	281	29.77	n/a	n/a	2.11	0.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT CAP/DEFRANCO	040	SWK	SS	4,160	61.85	n/a	n/a	166.40	4.0
WEISS PECK – ROBECO INV		040	TBT	B	17,300	19.58	n/a	n/a	519.00 3.0
NEUBERGER BERMAN	036	TCK	B	29,700	37.40	n/a	n/a	1,188.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	200,000	52.47	n/a	1-Nov	6,000.00	3.0
HOPLITE MGMT	025	TGT	B	182,520	52.28	n/a	1-Nov	7,300.80	4.0
MA CAPITAL MGMT/MELLON ADV041		TGT	B	3,000	52.05	n/a	1-Nov	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041		TGT	S	3,000	52.94	n/a	1-Nov	90.00	3.0
MERRILL ASSET/BLACKROCK	297	TRH	B	8,700	51.62	n/a	n/a	348.00	4.0
WINSLOW CAPITAL	030	UNH	S	160	46.82	n/a	n/a	4.80	3.0
WINSLOW CAPITAL	030	UNP	S	120	97.80	n/a	n/a	3.60	3.0
WINSLOW CAPITAL	030	UTX	S	80	75.58	n/a	n/a	2.40	3.0
WINSLOW CAPITAL	030	VAR	S	40	56.57	n/a	n/a	1.20	3.0
ENTRUST CAPITAL	040	VRA	B	11,400	44.93	n/a	n/a	570.00	5.0
WINSLOW CAPITAL	030	VRSN	S	100	31.71	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	V	S	100	91.55	n/a	27-Oct	3.00	3.0
CATAPULT CAP/DEFRANCO	040	WLK	B	3,300	38.91	n/a	n/a	132.00	4.0
BRONSON POINT	036	WRC	C	20,000	48.26	n/a	21-Oct	600.00	3.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WY	B	2,000	17.53	n/a	28-Oct	100.00	5.0
HOLLIS CAPITAL	033	WY	B	5,000	17.45	n/a	28-Oct	250.00	5.0
WINSLOW CAPITAL	030	YUM	S	50	52.86	n/a	5-Oct	1.50	3.0
<b>TOTAL (Trade Date) :</b>							<b>137,612.33</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/31	OZ MGMT (OZFFCSFB)	040	BWA	SS	1,125	75.50	n/a	31-Oct	33.75 3.0
AO,	10/31	OZ MGMT (OZFFCSFB)	040	BWA	SS	1,298	75.50	n/a	31-Oct	38.94 3.0
AO,	10/31	OZ MGMT (OZFFMS)	040	BWA	SS	1,196	75.50	n/a	31-Oct	35.88 3.0
AO,CXL	10/31	OZ MGMT (OZFFGS)	040	BWA	SS	50,000	75.50	n/a	31-Oct	1500.00 3.0
AO,	10/31	OZ MGMT (OZFFJPMBS)	040	BWA	SS	1,688	75.50	n/a	31-Oct	50.64 3.0
AO,	10/31	OZ MGMT (OZFFJPMBS)	040	BWA	SS	42,894	75.50	n/a	31-Oct	1286.82 3.0
AO,	10/31	OZ MGMT (OZFFJPMBS)	040	BWA	SS	1,799	75.50	n/a	31-Oct	53.97 3.0
AO,CRT	10/31	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	HTZ	S	28,100	11.80	n/a	n/a	1124.00 4.0
AO,CXL	10/31	CYPRESS CAP MGMT LLC (CYPRBTIG)	040	HTZ	S	28,100	11.80	n/a	n/a	1124.00 4.0
AO,	10/26	SCOUT/UMB (SUMBTEAM21)	047	SNDK	B	300	50.13	n/a	n/a	9.00 3.0
AO,CXL	10/26	SCOUT/UMB (SUMBTEAMST)	047	SNDK	B	300	50.13	n/a	n/a	9.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date):	137,612.33
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>137,612.33</b>
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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