



## Daily Compliance Activity Report

Trade Date: 10/28/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ACN	B	16,830	61.33	n/a	n/a	673.20	4.0
UBS OCONNOR	031	ADP	SS	75,000	52.50	n/a	n/a	2,250.00	3.0
PENNANT CAP MGMT	029	AMGN	S	54,973	57.72	n/a	n/a	1,649.19	3.0
KLEINHEINZ CAP PART	031	AN	S	75,000	39.35	n/a	21-Oct	3,750.00	5.0
OHIO PERS	047	ARBA	B	170,600	32.26	n/a	n/a	5,118.00	3.0
TALPION LLC	040	ARCO	B	10,000	23.03	n/a	28-Oct	400.00	4.0
THE JAY GOLDMAN	028	ARO	B	15,000	14.32	n/a	19-Aug	600.00	4.0
BALYASNY ASSET MGMT	044	ASNA	SS	25,000	30.47	n/a	n/a	1,250.00	5.0
OZ MGMT	040	AXL	C	249,467	9.71	n/a	19-Oct	7,484.01	3.0
PENNANT CAP MGMT	029	BRCM	S	48,186	36.83	n/a	n/a	1,445.58	3.0
DEVENNY CAP LLC	044	BWA	SS	5,272	76.53	n/a	19-Oct	158.16	3.0
OZ MGMT	040	BWA	SS	80,000	76.42	n/a	19-Oct	2,400.00	3.0
MELLON/BANK OF NEW YORK	046	CAH	S	362,005	45.66	n/a	n/a	14,480.20	4.0
THIRD COAST CAPITAL	035	CROX	B	15,000	16.95	n/a	n/a	750.00	5.0
MACQUARIE INVESTMENT MGMT.	040	DPS	SS	3,170	37.47	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	ERTS	S	87,588	24.04	n/a	n/a	2,627.64	3.0
SURVEYOR CAPITAL	041	EXPE	S	76,038	27.20	n/a	n/a	2,281.14	3.0
FARALLON CAP MGMT	040	FCX	B	22,500	43.41	n/a	n/a	900.00	4.0
IMPALA ASSET MMT	040	F	S	240,000	12.00	n/a	27-Oct	7,200.00	3.0
OZ MGMT	040	F	C	100,000	12.00	n/a	27-Oct	3,000.00	3.0
OZ MGMT	040	F	SS	200,000	11.92	n/a	27-Oct	6,000.00	3.0
BNP PARIBAS SEC	040	GMCR	B	10,000	69.15	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	HLF	B	20,000	61.49	n/a	n/a	1,000.00	5.0
IMPALA ASSET MMT	040	HOG	S	40,000	39.69	n/a	n/a	1,600.00	4.0
CAMBIAR CAP	046	HSP	B	9,635	31.05	n/a	27-Oct	385.40	4.0
SCOPUS FUND	041	IP	B	15,000	28.65	n/a	27-Oct	600.00	4.0
COLUMBUS CAP MGMT LLC	084	KITD	SS	11,000	9.60	n/a	n/a	440.00	4.0
BNP PARIBAS SEC	040	KSS	B	50,000	53.02	n/a	28-Oct	2,500.00	5.0
BNP PARIBAS SEC	040	KSS	SS	50,000	54.19	n/a	28-Oct	2,500.00	5.0
OZ MGMT	040	LEA	B	100,000	46.01	n/a	5-Aug	3,000.00	3.0
IMPALA ASSET MMT	040	LVS	B	100,000	48.51	n/a	13-Jun	5,000.00	5.0
KACELA CAPITAL	034	MAR	SS	25,000	32.97	n/a	13-Jun	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	MCO	SS	75,000	36.39	n/a	n/a	2,250.00	3.0
OZ MGMT	040	MGA	SS	80,000	39.64	n/a	n/a	2,400.00	3.0
CRAMER ROSENTHAL/SCOTT	070	MWW	B	218,350	9.35	n/a	n/a	8,734.00	4.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	31.05	n/a	28-Oct	500.00	5.0
HUNTER GLOBAL INVESTOR	028	OSK	B	37,821	21.89	n/a	n/a	1,891.05	5.0
IMPALA ASSET MMT	040	OXY	B	25,000	97.79	n/a	n/a	1,250.00	5.0
RWC PARTNERS LTD	085	OXY	B	10,405	97.78	n/a	n/a	312.15	3.0
COOPER CREEK PART	028	PAG	B	15,000	20.99	n/a	19-Oct	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>30,000</b>	<b>73.76</b>	<b>n/a</b>	<b>21-Oct</b>	<b>900.00</b>	<b>3.0</b>
COLUMBUS CIRCLE	036	REXX	B	1,797	15.92	n/a	n/a	71.88	4.0
MUHLENKAMP FUND	046	REXX	B	71,783	15.83	n/a	n/a	3,589.15	5.0
COOPER CREEK PART	028	RKT	B	10,000	60.38	n/a	17-Oct	400.00	4.0
NEUBERGER BERMAN	036	RLJ	B	600	14.90	n/a	n/a	24.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ROST	S	9,000	88.25	n/a	28-Oct	360.00	4.0
SUN AMERICA ASSET MGMT	030	SCSS	S	41,600	20.43	n/a	n/a	1,664.00	4.0
LIONEYE CAPITAL	040	SHOR	S	10,000	5.75	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	SPY	SS	7,780	128.68	n/a	n/a	389.00	5.0
COLUMBUS CIRCLE	036	STMP	B	3,236	30.14	n/a	n/a	105.24	2.5
LITESPEED	028	STX	S	155,000	16.44	n/a	n/a	4,650.00	3.0
NEWLAND CAPITAL MGT	025	TIE	S	50,000	17.58	n/a	n/a	2,000.00	4.0
IMPALA ASSET MMT	040	UAL	S	75,000	19.68	n/a	n/a	3,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	UAL	B	15,000	19.81	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	VMC	SS	40,000	33.13	n/a	n/a	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	WAG	S	87,600	33.73	n/a	n/a	3,504.00	4.0
IMPALA ASSET MMT	040	WLT	B	80,325	81.74	n/a	n/a	4,016.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>50,000</b>	<b>49.01</b>	<b>n/a</b>	<b>21-Oct</b>	<b>1,500.00</b>	<b>3.0</b>
MA CAPITAL MGMT/MELLON ADV041		WY	B	4,100	17.60	n/a	28-Oct	205.00	5.0
MA CAPITAL MGMT/MELLON ADV041		WY	S	6,000	18.04	n/a	28-Oct	180.00	3.0
OZ MGMT	040	WY	B	174,852	17.92	n/a	28-Oct	5,245.56	3.0
SENATOR INVESTMENT GROUP	036	XOP	B	30,000	57.41	n/a	n/a	900.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>135,683.80</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/27	IMPALA ASSET MMT (IMPACITI)	040	UAL	S	3,398	19.72	n/a	n/a	0.00	0.0
AO,	10/27	IMPALA ASSET MMT (IMPACITI)	040	UAL	S	3,398	19.72	n/a	n/a	135.92	4.0
AO,CXL	10/27	IMPALA ASSET MMT (IMPABS)	040	UAL	S	96,602	19.72	n/a	n/a	0.00	0.0
AO,	10/27	IMPALA ASSET MMT (IMPABS)	040	UAL	S	96,602	19.72	n/a	n/a	3864.08	4.0
AO,	10/27	ROTHSCHILD ASSET (ROTH3762)	040	XOM	S	430	81.11	n/a	n/a	17.20	4.0
AO,CXL	10/27	ROTHSCHILD ASSET (ROTH3761)	040	XOM	S	430	81.11	n/a	n/a	17.20	4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>4,000.00</b>
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TOTAL (Trade Date) :	135,683.80
TOTAL (AO, CXL, CRT) :	4,000.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>139,683.80</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