



Daily Compliance Activity Report

Trade Date: 12/07/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	B	40,000	49.78	n/a	17-Nov	1,200.00	3.0
BUCK CAPITAL MGMT	001	ANN	B	100,000	25.36	n/a	n/a	3,000.00	3.0
MA CAPITAL MGMT/MELLON ADV041		ARCO	B	8,000	21.86	n/a	31-Oct	400.00	5.0
GREEN ARROW DOUG	040	AWI	B	10,000	42.46	n/a	n/a	500.00	5.0
PERRY PARTNERS	085	BAC	S	250,000	5.81	n/a	5-Dec	5,000.00	2.0
BUCK CAPITAL MGMT	001	BWA	SS	20,000	68.96	n/a	9-Nov	600.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	30,000	69.56	n/a	9-Nov	1,500.00	5.0
LISTED ERR	099	BWA	B	2,000	70.02	n/a	9-Nov	0.00	0.0
LISTED ERR	099	BWA	SS	20,000	69.56	n/a	9-Nov	0.00	0.0
LISTED ERR	099	BWA	S	1,500	68.98	n/a	9-Nov	0.00	0.0
ACK ASSET	028	CSX	SS	70,000	21.41	n/a	n/a	2,100.00	3.0
MA CAPITAL MGMT/MELLON ADV041		DAN	B	8,000	12.39	n/a	1-Dec	320.00	4.0
MA CAPITAL MGMT/MELLON ADV041		DKS	SS	5,000	39.23	n/a	16-Nov	250.00	5.0
SCOPUS FUND	041	DKS	SS	20,000	38.87	n/a	16-Nov	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	EQT	B	10,000	57.90	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	GM	SS	60,000	21.74	n/a	2-Dec	3,000.00	5.0
GREEN ARROW DOUG	040	GPK	B	20,000	4.27	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	GS	B	6,000	100.52	n/a	5-Dec	300.00	5.0
NEUBERGER BERMAN	036	HITT	B	5,676	53.68	n/a	n/a	227.04	4.0
NEUBERGER BERMAN	036	IPHS	B	8,300	49.00	n/a	n/a	332.00	4.0
MACQUARIE INVESTMENT MGMT.	040	IP	B	10,000	28.44	n/a	27-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	JPM	S	50,000	33.61	n/a	5-Dec	2,500.00	5.0
THRIVENT ASSET MGMT	030	KKR	B	24,661	13.45	n/a	n/a	986.44	4.0
BRONSON POINT	036	LOW	B	25,000	24.99	n/a	7-Dec	750.00	3.0
ARMATURE CAPITAL	041	LYB	B	75,000	33.03	n/a	n/a	3,000.00	4.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	B	75,000	25.40	n/a	n/a	3,000.00	4.0
NORTHWESTERN MUTUAL LIFE	047	NOK	S	434,000	5.26	n/a	n/a	17,360.00	4.0
DEVENNY CAP LLC	044	PH	B	5,000	82.03	n/a	19-Oct	150.00	3.0
ARMATURE CAPITAL	041	PKG	SS	50,000	25.14	n/a	18-Oct	2,000.00	4.0
CHALSON/MILLENIUM	041	PVH	B	20,000	72.48	n/a	2-Dec	800.00	4.0
DEVENNY CAP LLC	044	TRW	B	10,000	33.42	n/a	n/a	300.00	3.0
HARVEY PARTNERS	086	URBN	B	5,000	26.97	n/a	n/a	150.00	3.0

TOTAL (Trade Date):

52,025.48

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/06	MILLRACE FUND LP (MILRIE2Y)	028	BWA	SS	1,383	69.80	n/a	9-Nov	55.32 4.0
AO,	12/06	MILLRACE FUND LP (MILRGS7RVE)	028	BWA	SS	1,383	69.80	n/a	9-Nov	55.32 4.0
AO,	12/06	COLUMBUS CIRCLE (COLC3040)	036	N	S	2,624	46.53	n/a	n/a	104.96 4.0
AO,CXL	12/06	LONG POND (LONPGS)	029	WY	B	110,000	16.92	n/a	28-Oct	5500.00 5.0
AO,CRT	12/06	LONG POND (LONPMS)	029	WY	B	110,000	16.92	n/a	28-Oct	5500.00 5.0
TOTAL (AO, CXL, CRT) :										104.96

TOTAL (Trade Date) :	52,025.48
TOTAL (AO, CXL, CRT) :	104.96

TOTAL (RUN DATE) / NFS:	52,130.44
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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