

Daily Compliance Activity Report Trade Date: 12/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BAIRD INVESTMENT	047	AAPL	В	745	392.95	n/a	n/a	37.25	5.0
DEVENNY CAP LLC	044	AA	В	10,000	9.44	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	251	AGCO	SS	5,000	44.02	n/a	12-Dec	150.00	3.0
BALYASNY ASSET MGMT	044	ASNA	С	25,000	28.09	n/a	n/a	1,250.00	5.0
SEVEN LOCKS CAPITAL	025	ASPS	S	5,000	51.21	n/a	n/a	150.00	3.0
CATAPULT	040	AWI	В	1,732	42.69	n/a	n/a	69.28	4.0
PZENA INV ADV	044	BAC	В	22,775	5.51	n/a	5-Dec	797.13	3.5
CATAPULT	040	ВА	В	1,176	72.18	n/a	29-Nov	47.04	4.0
LATEFF MGMT	035	BLL	В	200	34.58	n/a	n/a	50.00	25.0
LATEFF MGMT	035	BMS	S	350	29.42	n/a	n/a	42.00	12.0
SURVEYOR CAPITAL	251	BWA	В	2,500	65.44	n/a	9-Nov	75.00	3.0
SURVEYOR CAPITAL	251	CAT	В	2,000	94.54	n/a	25-Oct	60.00	3.0
CHESAPEAKE PARTNERS	028	CMC	В	10,000	14.00	n/a	n/a	300.00	3.0
THE JAY GOLDMAN	028	СОН	В	10,000	60.07	n/a	26-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CATAPULT	040	CRS	В	590	50.56	n/a	n/a	23.60	4.0
LATEFF MGMT	035	DAL	S	550	8.11	n/a	n/a	55.00	10.0
SCOPUS FUND	041	DIN	S	12,600	43.45	n/a	n/a	504.00	4.0
ETON PARK CAPITAL	041	DLTR	S	9,200	83.32	n/a	22-Nov	368.00	4.0
LATEFF MGMT	035	DRE	В	900	11.55	n/a	n/a	90.00	10.0
JANA CAPITAL	044	EP	S	50,000	24.91	n/a	n/a	2,000.00	4.0
CATAPULT	040	FLS	В	582	101.79	n/a	n/a	23.28	4.0
ADALY INV MGMT	031	GDXJ	SS	2,300	26.50	n/a	n/a	115.00	5.0
LATEFF MGMT	035	GE	В	150	16.57	n/a	n/a	30.00	20.0
PROSPECTOR PARTNERS LLC	036	GLW	В	10,000	13.33	n/a	12-Dec	400.00	4.0
CATAPULT	040	HAR	В	1,693	38.50	n/a	3-Feb	67.72	4.0
LATEFF MGMT	035	HD	S	125	40.02	n/a	8-Dec	31.25	25.0
TRUSTCO/SUNTRUST	040	HPQ	В	41,600	26.84	n/a	n/a	1,456.00	3.5
PILOT ADV	041	INTC	В	13,000	24.03	n/a	n/a	390.00	3.0
CATAPULT	040	ITT	В	4,206	19.70	n/a	n/a	168.24	4.0
	CATAPULT LATEFF MGMT SCOPUS FUND ETON PARK CAPITAL LATEFF MGMT JANA CAPITAL CATAPULT ADALY INV MGMT LATEFF MGMT PROSPECTOR PARTNERS LLC CATAPULT LATEFF MGMT TRUSTCO/SUNTRUST PILOT ADV	CATAPULT 040 LATEFF MGMT 035 SCOPUS FUND 041 ETON PARK CAPITAL 041 LATEFF MGMT 035 JANA CAPITAL 044 CATAPULT 040 ADALY INV MGMT 031 LATEFF MGMT 035 PROSPECTOR PARTNERS LLC 036 CATAPULT 040 LATEFF MGMT 035 TRUSTCO/SUNTRUST 040 PILOT ADV 041	CATAPULT 040 CRS LATEFF MGMT 035 DAL SCOPUS FUND 041 DIN ETON PARK CAPITAL 041 DLTR LATEFF MGMT 035 DRE JANA CAPITAL 044 EP CATAPULT 040 FLS ADALY INV MGMT 035 GE PROSPECTOR PARTNERS LLC 036 GLW CATAPULT 040 HAR LATEFF MGMT 035 HD TRUSTCO/SUNTRUST 040 HPQ PILOT ADV 041 INTC	CATAPULT 040 CRS B LATEFF MGMT 035 DAL S SCOPUS FUND 041 DIN S ETON PARK CAPITAL 041 DLTR S LATEFF MGMT 035 DRE B JANA CAPITAL 044 EP S CATAPULT 040 FLS B ADALY INV MGMT 031 GDXJ SS LATEFF MGMT 035 GE B PROSPECTOR PARTNERS LLC 036 GLW B CATAPULT 040 HAR B LATEFF MGMT 035 HD S TRUSTCO/SUNTRUST 040 HPQ B PILOT ADV 041 INTC B	CATAPULT 040 CRS B 590 LATEFF MGMT 035 DAL S 550 SCOPUS FUND 041 DIN S 12,600 ETON PARK CAPITAL 041 DLTR S 9,200 LATEFF MGMT 035 DRE B 900 JANA CAPITAL 044 EP S 50,000 CATAPULT 040 FLS B 582 ADALY INV MGMT 031 GDXJ SS 2,300 LATEFF MGMT 035 GE B 150 PROSPECTOR PARTNERS LLC 036 GLW B 10,000 CATAPULT 040 HAR B 1,693 LATEFF MGMT 035 HD S 125 TRUSTCO/SUNTRUST 040 HPQ B 41,600 PILOT ADV 041 INTC B 13,000	CATAPULT 040 CRS B 590 50.56 LATEFF MGMT 035 DAL S 550 8.11 SCOPUS FUND 041 DIN S 12,600 43.45 ETON PARK CAPITAL 041 DLTR S 9,200 83.32 LATEFF MGMT 035 DRE B 900 11.55 JANA CAPITAL 044 EP S 50,000 24.91 CATAPULT 040 FLS B 582 101.79 ADALY INV MGMT 031 GDXJ SS 2,300 26.50 LATEFF MGMT 035 GE B 150 16.57 PROSPECTOR PARTNERS LLC 036 GLW B 10,000 13.33 CATAPULT 040 HAR B 1,693 38.50 LATEFF MGMT 035 HD S 125 40.02 TRUSTCO/SUNTRUST 040 HPQ B 41,600 26.84 PILOT ADV 041 INTC B 13,000 24.03	CATAPULT 040 CRS B 590 50.56 n/a LATEFF MGMT 035 DAL S 550 8.11 n/a SCOPUS FUND 041 DIN S 12,600 43.45 n/a ETON PARK CAPITAL 041 DLTR S 9,200 83.32 n/a LATEFF MGMT 035 DRE B 900 11.55 n/a JANA CAPITAL 044 EP S 50,000 24.91 n/a CATAPULT 040 FLS B 582 101.79 n/a ADALY INV MGMT 031 GDXJ SS 2,300 26.50 n/a LATEFF MGMT 035 GE B 150 16.57 n/a PROSPECTOR PARTNERS LLC 036 GLW B 10,000 13.33 n/a CATAPULT 040 HAR B 1,693 38.50 n/a LATEFF MGMT 035 HD S 125 40.02 n/a TRUSTCO/SUNTRUST 040 HPQ B 41,600 26.84 n/a PILOT ADV 041 INTC B 13,000 24.03 n/a	CATAPULT 040 CRS B 590 50.56	CATAPULT 040 CRS B 590 50.56

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DAVIDSON KEMPNER ADVISOR	040	IVN	В	50,000	17.49	n/a	n/a	2,500.00	5.0
PZENA INV ADV	044	JCP	S	35,900	32.83	n/a	2-Dec	1,256.50	3.5
BASIX	033	JNY	S	24,000	9.67	n/a	27-Oct	720.00	3.0
LATEFF MGMT	035	KR	S	500	24.03	n/a	n/a	50.00	10.0
THE JAY GOLDMAN	028	KSS	В	10,000	50.25	n/a	2-Dec	400.00	4.0
KACELA CAPITAL OSKIE CAPITAL MGMT	034	LEA LEA	SS B	25,000 20,000	38.29 36.94	n/a n/a	31-Oct 31-Oct	1,000.00	4.0 5.0
HOLLIS CAPITAL	033	LEG	SS	7,500	22.42	n/a	n/a	375.00	5.0
SURVEYOR CAPITAL	251	MGA	SS	5,000	33.98	n/a	n/a	150.00	3.0
SURVEYOR CAPITAL	251	PCAR	В	5,000	38.54	n/a	26-Oct	150.00	3.0
SURVEYOR CAPITAL	251	PCP	В	2,000	154.90	n/a	28-Oct	60.00	3.0
LATEFF MGMT	035	PKG	В	125	24.28	n/a	18-Oct	31.25	25.0
BALYASNY ASSET MGMT	044	PLCE	SS	10,000	56.96	n/a	22-Nov	500.00	5.0
MERRILL ASSET/BLACKROCK	297	RKT	S	27,800	55.65	n/a	10-Nov	1,112.00	4.0
RAINIER INV MGMT	035	ROG	S	12,100	39.89	n/a	n/a	484.00	4.0
CATAPULT	040	RYL	В	3,836	15.25	n/a	n/a	153.44	4.0

Account	RR #	Symbol	B/S	Shares	Shares Price		Research	Comm.	¢/Shr.
NORTHWESTERN MUTUAL LIFE	047	SFSF	S	200,000	39.78	n/a	n/a	8,000.00	4.0
CATAPULT	040	SPR	В	3,391	19.88	n/a	11-Nov	135.64	4.0
RIDGECREST INV MGMT LLC	028	SPY	SS	25 , 000	124.71	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	251	ST	SS	5,000	29.34	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	SWK	В	117,950	64.97	n/a	n/a	4,718.00	4.0
CATAPULT	040	TGI	В	752	57.63	n/a	n/a	30.08	4.0
MOORE CAPITAL	041	TIN	В	25 , 000	31.65	n/a	19-Oct	750.00	3.0
LATEFF MGMT	035	UAL	S	325	20.44	n/a	n/a	71.50	22.0
LATEFF MGMT	035	UN	S	125	33.50	n/a	n/a	31.25	25.0
HARVEST MGMT	029	URBN	SS	5,000	27.84	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	VNO	В	25 , 600	72.33	n/a	n/a	1,024.00	4.0
CATAPULT	040	XPO	В	4,400	11.59	n/a	n/a	176.00	4.0

TOTAL (Trade Date): 35,928.45

Туре	Date Account	RR # Symbo	ol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):						0.00
TOTAL	(Trade Date):					35 , 9	28.45
TOTAL	(AO, CXL, CRT):						0.00
TOTAL	(RUN DATE) / NFS:					35,9	28.45

Legend:

O: 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