



## Daily Compliance Activity Report

Trade Date: 10/10/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	SS	23,750	10.10	n/a	n/a	950.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>AA</b>	<b>B</b>	<b>23,750</b>	<b>10.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AA</b>	<b>SS</b>	<b>47,500</b>	<b>10.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AA</b>	<b>S</b>	<b>23,750</b>	<b>10.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT.	040	APC	S	2,500	66.91	n/a	27-Sep	0.00	0.0
SCOPUS FUND	041	ARB	SS	23,200	36.88	n/a	n/a	928.00	4.0
NORTHWESTERN MUTUAL LIFE	047	AVGO	B	33,500	33.44	n/a	n/a	1,340.00	4.0
MACQUARIE INVESTMENT MGMT.	040	BBY	SS	2,500	25.08	n/a	n/a	0.00	0.0
TOCQUEVILLE	035	BCR	B	1,600	86.03	n/a	n/a	80.00	5.0
RBC CAPITAL MARKETS	040	BIG	B	15,000	34.18	n/a	25-Aug	600.00	4.0
FIRST NEW YORK LEDDY	035	BRCD	S	20,000	4.92	n/a	n/a	800.00	4.0
NORTHWESTERN MUTUAL LIFE	047	BRCM	B	28,025	35.96	n/a	n/a	1,121.00	4.0
RBC CAPITAL MARKETS	040	BUD	SS	7,000	53.56	n/a	30-Sep	280.00	4.0
HIGHBRIDGE CAP	041	COH	S	4,250	59.52	n/a	3-Aug	127.50	3.0
RAIL-SPLITTER	031	COL	SS	15,000	55.89	n/a	7-Oct	750.00	5.0
COLUMBUS CIRCLE	036	CPX	S	9,400	28.08	n/a	n/a	376.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	CSL	S	5,000	37.04	n/a	n/a	250.00	5.0
HIGHBRIDGE CAP	041	DKS	B	8,000	35.66	n/a	16-Aug	240.00	3.0
MACQUARIE INVESTMENT MGMT.	040	DRI	SS	2,500	45.00	n/a	3-Oct	0.00	0.0
CATAPULT	040	DVN	B	25,000	58.25	n/a	27-Sep	1,000.00	4.0
TALPION LLC	040	EL	B	5,000	93.49	n/a	16-Aug	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	ENR	SS	3,500	68.99	n/a	28-Jul	0.00	0.0
SURVEYOR CAPITAL	041	ERJ	B	3,000	26.52	n/a	n/a	90.00	3.0
RIDGECREST INV MGMT LLC	028	F	B	20,000	11.14	n/a	4-Oct	1,000.00	5.0
BRONSON POINT	036	GE	S	25,000	15.98	n/a	n/a	750.00	3.0
MACQUARIE INVESTMENT MGMT.	040	HAS	SS	2,500	34.33	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	HD	SS	15,000	34.38	n/a	16-Aug	600.00	4.0
SURVEYOR CAPITAL	041	HTLD	SS	5,000	14.30	n/a	n/a	150.00	3.0
TOCQUEVILLE	035	IWO	B	3,800	77.87	n/a	n/a	190.00	5.0
RBC CAPITAL MARKETS	040	JACK	SS	3,000	19.98	n/a	n/a	120.00	4.0
SURVEYOR CAPITAL	041	JNJ	S	85,000	64.30	n/a	n/a	2,550.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	K	SS	2,500	54.06	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	MS	S	213,095	15.07	n/a	7-Oct	8,523.80	4.0
MOORE CAPITAL	041	NDN	S	24,700	20.36	n/a	10-Oct	741.00	3.0
RBC CAPITAL MARKETS	040	NKE	B	5,000	90.71	n/a	23-Sep	200.00	4.0
FARALLON CAP MGMT	040	ORCL	S	323,000	30.95	n/a	n/a	9,690.00	3.0
NORTHWESTERN MUTUAL LIFE	047	PAY	B	35,200	37.55	n/a	n/a	1,408.00	4.0
TRUSTCO/SUNTRUST	040	PG	B	153,734	64.44	n/a	10-Oct	5,380.73	3.5
RBC CAPITAL MARKETS	040	PNRA	SS	2,000	108.43	n/a	3-Oct	80.00	4.0
KACELA CAPITAL	034	PVH	B	3,000	63.90	n/a	1-Sep	120.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	167,000	63.91	n/a	1-Sep	5,010.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ROST	B	1,500	83.43	n/a	7-Oct	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	SBUX	B	2,500	40.85	n/a	3-Oct	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	SMG	B	2,000	41.90	n/a	10-Oct	0.00	0.0
SURVEYOR CAPITAL	041	SMG	SS	6,667	44.96	n/a	10-Oct	200.01	3.0
ROARING BLUE LION MGMT	031	SSI	S	8,100	15.13	n/a	n/a	324.00	4.0
ROYCE TRADING	031	TER	S	20,000	12.29	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	TIF	B	6,000	68.25	n/a	n/a	180.00	3.0
RBC CAPITAL MARKETS	040	TJX	B	5,000	57.25	n/a	7-Oct	200.00	4.0
SURVEYOR CAPITAL	041	TXT	SS	2,000	18.52	n/a	n/a	60.00	3.0
OHIO PERS	047	UTX	B	66,000	73.42	n/a	n/a	1,980.00	3.0
TOCQUEVILLE	035	VRTX	S	2,700	40.11	n/a	n/a	135.00	5.0
MACQUARIE INVESTMENT MGMT.	040	WAT	B	5,000	75.81	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	WERN	B	5,000	22.03	n/a	n/a	150.00	3.0
BNP PARIBAS SEC	040	WRC	S	10,000	45.03	n/a	2-Aug	500.00	5.0
SCOPUS FUND	041	WRC	B	32,300	45.20	n/a	2-Aug	1,292.00	4.0
HIGHBRIDGE CAP	041	WSM	B	8,000	32.78	n/a	n/a	240.00	3.0
BRONSON POINT	036	WYN	S	5,000	30.57	n/a	n/a	150.00	3.0
TALPION LLC	040	YHOO	S	25,000	15.93	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>53,057.04</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	ARCHON CAPITAL (ARCCUBS)	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0
AO,CXL	10/05	ARCHON CAPITAL (ARCCUBS)	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0
AO,	10/07	NUMERIC (NUMISMLCPH)	060	JNY	B	1,100	9.28	n/a	28-Jul	33.00 3.0
AO,	10/07	NUMERIC (NUMISMLCMA)	060	JNY	B	800	9.28	n/a	28-Jul	24.00 3.0
AO,	10/07	NUMERIC (NUMISMLCGU)	060	JNY	B	2,200	9.28	n/a	28-Jul	66.00 3.0
AO,	10/07	NUMERIC (NUMISMLCGN)	060	JNY	B	1,100	9.28	n/a	28-Jul	33.00 3.0
AO,	10/07	NUMERIC (NUMISMLCFE)	060	JNY	B	600	9.28	n/a	28-Jul	18.00 3.0
AO,	10/07	NUMERIC (NUMISMLCCI)	060	JNY	B	700	9.28	n/a	28-Jul	21.00 3.0
AO,	10/07	NUMERIC (NUMISAFWEA)	060	JNY	B	5,100	9.28	n/a	28-Jul	153.00 3.0
AO,	10/07	NUMERIC (NUMINCSMVA)	060	JNY	B	11,100	9.28	n/a	28-Jul	333.00 3.0
AO,	10/07	NUMERIC (NUMIMONTSM)	060	JNY	B	4,700	9.28	n/a	28-Jul	141.00 3.0
AO,	10/07	NUMERIC (NUMIINDY)	060	JNY	B	6,100	9.28	n/a	28-Jul	183.00 3.0
AO,	10/07	NUMERIC (NUMISANVAL)	060	JNY	B	1,200	9.28	n/a	28-Jul	36.00 3.0
AO,	10/07	NUMERIC (NUMIGS)	060	JNY	B	2,800	9.28	n/a	28-Jul	84.00 3.0

**TOTAL (AO, CXL, CRT) :****1,125.00**

TOTAL (Trade Date) :

53,057.04

TOTAL (AO, CXL, CRT) :

1,125.00

**TOTAL (RUN DATE) / NFS:****54,182.04**

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