



Daily Compliance Activity Report

Trade Date: 11/18/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ann Bettendorf Freeman		AAPL	S	25379.0300		n/a	n/a	0.00	0.0
MOORE CAPITAL	041	AATI	S	89,100	4.23	n/a	n/a	2,673.00	3.0
DEVENNY CAP LLC	044	ALV	SS	5,000	51.16	n/a	26-Oct	200.00	4.0
CADIAN CAPITAL	041	ANF	B	20,000	47.61	n/a	17-Nov	600.00	3.0
CASTLEROCK	040	ARO	B	47,007	16.48	n/a	4-Nov	1,880.28	4.0
MERRILL ASSET/BLACKROCK	297	BOKF	B	4,082	53.00	n/a	n/a	163.28	4.0
DEVENNY CAP LLC	044	CBT	S	12,400	31.41	n/a	10-Nov	372.00	3.0
OHIO PERS	047	CP	B	34,000	59.37	n/a	n/a	1,020.00	3.0
OHIO PERS	047	CRM	B	52,000	120.06	n/a	n/a	1,560.00	3.0
OHIO PERS	047	CTCT	S	28,318	22.31	n/a	n/a	849.54	3.0
FARBER/WEISS PECK	085	DE	SS	10,500	74.40	n/a	14-Sep	420.00	4.0
BMO NESBITT BURNS	041	DLTR	B	2,000	76.40	n/a	18-Nov	100.00	5.0
EGS ASSOCIATES LP	091	FL	B	6,900	23.05	n/a	18-Nov	345.00	5.0
M&I FUNDS	047	FL	B	50,512	22.37	n/a	18-Nov	2,020.48	4.0
OZ MGMT	040	F	C	133,432	10.14	n/a	2-Nov	4,002.96	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GM	C	25,000	21.76	n/a	10-Nov	1,250.00	5.0
HUNTER GLOBAL INVESTOR	028	GM	SS	67,500	21.83	n/a	10-Nov	3,375.00	5.0
OHIO PERS	047	GRPN	B	40,000	25.79	n/a	n/a	1,200.00	3.0
CAERUS GLOBAL	041	HBI	B	28,000	24.42	n/a	3-Nov	1,120.00	4.0
HOLLIS CAPITAL	033	HPQ	B	5,000	28.12	n/a	n/a	250.00	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	5,895	19.00	n/a	n/a	176.85	3.0
BASSWOOD PARTNERS	267	JPM	S	15,500	30.69	n/a	16-Nov	620.00	4.0
AVESTA CAP	229	KO	C	100,000	67.40	n/a	19-Oct	3,000.00	3.0
OHIO PERS	047	KSU	S	31,725	67.48	n/a	n/a	951.75	3.0
DEVENNY CAP LLC	044	LEA	S	13,600	40.95	n/a	31-Oct	494.00	3.5
MERRILL ASSET/BLACKROCK	297	LEA	B	21,900	40.96	n/a	31-Oct	876.00	4.0
SCHOTTENFELD ASSOC	041	LPX	B	24,011	7.24	n/a	7-Nov	720.33	3.0
KINGDON ASSET MGMT	041	MRVL	S	200,000	14.70	n/a	n/a	8,000.00	4.0
Õ Ann Bettendorf Freeman		MSFT	S	250	25.3050	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	M	B	7,100	30.31	n/a	10-Nov	355.00	5.0
SIMMONS VENTURES	041	M	B	5,000	30.34	n/a	10-Nov	200.00	4.0
KAM ADVISORS LLC	041	PEP	S	88,000	63.92	n/a	n/a	2,640.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Ann Bettendorf Freeman		QCOM	S	147	56.2750	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	RKT	B	20,654	56.58	n/a	10-Nov	619.62	3.0
COHE & STEERS	041	RYN	S	31,372	40.46	n/a	26-Oct	1,254.88	4.0
CASTLEROCK	040	STX	B	136,240	16.16	n/a	n/a	5,449.60	4.0
BMO NESBITT BURNS	041	SVU	SS	4,000	8.17	n/a	n/a	200.00	5.0
Õ Ann Bettendorf Freeman		SWN	B	200	38.8800	n/a	10-Nov	0.00	0.0
CRAMER ROSENTHAL/SCOTT	070	SYK	B	236,900	47.95	n/a	n/a	9,476.00	4.0
IRIDIAN ASSET MGMT.	036	TEN	S	6,280	27.48	n/a	n/a	314.00	5.0
MERRILL ASSET/BLACKROCK	297	TRH	B	10,600	54.48	n/a	n/a	424.00	4.0
WEINTRAUB CAPITAL MGT.	040	TTWO	B	25,000	13.50	n/a	n/a	1,000.00	4.0
DEVENNY CAP LLC	044	VC	S	10,000	54.13	n/a	n/a	300.00	3.0
MELLON/BANK OF NEW YORK	046	VWO	B	91,370	39.54	n/a	n/a	3,654.80	4.0
HUNTER GLOBAL INVESTOR	028	WHR	B	28,000	50.01	n/a	n/a	1,400.00	5.0
BMO NESBITT BURNS	041	WY	B	25,000	16.15	n/a	28-Oct	1,250.00	5.0
BNP PARIBAS SEC	040	WY	B	30,000	16.39	n/a	28-Oct	1,500.00	5.0
MA CAPITAL MGMT/MELLON ADV041	041	WY	B	10,600	16.37	n/a	28-Oct	530.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	WY	B	50,000	16.36	n/a	28-Oct	2,000.00	4.0
TOTAL (Trade Date) :								70,808.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/17	NEUBERGER BERMAN (NBER532689)	036	LPS	B	1,700	18.00	n/a	n/a	68.00 4.0
AO,CXL	11/17	NEUBERGER BERMAN (NBER532688)	036	LPS	B	1,700	18.00	n/a	n/a	68.00 4.0
AO,CXL	11/17	BRONSON POINT (BRONMS)	036	MMM	B	5,000	80.20	n/a	8-Nov	150.00 3.0
AO,	11/17	BRONSON POINT (BRONGS)	036	MMM	B	5,000	80.20	n/a	8-Nov	150.00 3.0
AO,	11/17	COLUMBUS CIRCLE (COLC3050)	036	SIMO	B	2,086	20.05	n/a	n/a	83.44 4.0

TOTAL (AO, CXL, CRT) :**83.44**

TOTAL (Trade Date) :

70,808.37

TOTAL (AO, CXL, CRT) :

83.44

TOTAL (RUN DATE) / NFS :**70,891.81**

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