



Daily Compliance Activity Report

Trade Date: 12/06/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARKWEST	084	ACCL	S	50,000	7.07	n/a	n/a	1,500.00	3.0
OHIO PERS	047	AVY	S	47,300	27.21	n/a	2-Dec	1,419.00	3.0
HARVEST MGMT	029	BIG	B	5,000	37.76	n/a	2-Dec	200.00	4.0
ROYCE TRADING	031	BKE	B	2,000	41.07	n/a	n/a	100.00	5.0
DEVENNY CAP LLC	044	BWA	SS	5,000	70.27	n/a	9-Nov	150.00	3.0
MILLRACE FUND LP	028	BWA	SS	1,500	69.80	n/a	9-Nov	60.00	4.0
LISTED ERR	099	BWA	B	1,500	69.80	n/a	9-Nov	0.00	0.0
BRONSON POINT	036	CAG	SS	50,000	25.66	n/a	n/a	1,500.00	3.0
CASTLEROCK	040	CAKE	SS	35,011	28.55	n/a	20-Oct	1,400.44	4.0
RBC CAPITAL MARKETS	040	CAKE	SS	25,000	28.53	n/a	20-Oct	1,000.00	4.0
MOORE CAPITAL	041	CEDC	C	10,000	4.90	n/a	n/a	300.00	3.0
SONTERRA CAP	041	CHE	SS	30,000	50.66	n/a	n/a	1,200.00	4.0
SANDLER CAPITAL	028	CNK	C	212,490	20.45	n/a	n/a	10,624.50	5.0
HARVEST MGMT	029	CRI	SS	10,000	41.24	n/a	n/a	400.00	4.0
DEVENNY CAP LLC	044	DAR	B	10,000	13.98	n/a	n/a	300.00	3.0
OHIO PERS	047	DELL	B	296,700	15.99	n/a	n/a	8,901.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHESAPEAKE PARTNERS	028	DMND	B	20,000	28.72	n/a	n/a	600.00	3.0
DEVENNY CAP LLC	044	FCX	S	3,600	40.81	n/a	n/a	108.00	3.0
ARSENAL ASSET MANAGEMENT	028	GDI	B	5,000	84.95	n/a	n/a	200.00	4.0
GREEN ARROW DOUG	040	GPK	B	20,000	4.32	n/a	n/a	1,000.00	5.0
SMITH MGMT LLC	029	GRPN	SS	100,000	19.07	n/a	n/a	3,000.00	3.0
ROYCE TRADING	031	HAS	S	1,000	36.59	n/a	n/a	50.00	5.0
NEUBERGER BERMAN	036	HITT	B	11,800	54.09	n/a	n/a	472.00	4.0
OHIO PERS	047	HPQ	S	163,300	28.39	n/a	n/a	4,899.00	3.0
NICOLAS APPLGATE	084	INTC	B	150,000	25.38	n/a	n/a	3,000.00	2.0
NORTHWESTERN MUTUAL LIFE	047	INTC	S	366,200	25.32	n/a	n/a	14,648.00	4.0
DEVENNY CAP LLC	044	JOY	B	1,100	90.26	n/a	14-Sep	33.00	3.0
OHIO PERS	047	JOY	B	14,300	89.92	n/a	14-Sep	429.00	3.0
PERSHING SQUARE	029	KFT	S	127,300	36.56	n/a	n/a	5,092.00	4.0
GREEN ARROW DOUG	040	KNX	S	6,414	15.59	n/a	n/a	320.70	5.0
DEVENNY CAP LLC	044	LEA	B	5,000	41.51	n/a	31-Oct	150.00	3.0
DEVENNY CAP LLC	044	LMT	SS	2,500	78.26	n/a	5-Dec	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	LOW	B	150,000	24.79	n/a	16-Nov	6,000.00	4.0
BMO NESBITT BURNS	041	LULU	B	1,000	45.72	n/a	2-Dec	100.00	10.0
MERCHANTS GATE CAP LP	036	LZB	SS	20,000	11.80	n/a	n/a	800.00	4.0
ARMATURE CAPITAL	041	MMM	B	30,000	82.31	n/a	8-Nov	1,200.00	4.0
DEVENNY CAP LLC	044	MOS	SS	2,444	53.54	n/a	n/a	73.32	3.0
DEVENNY CAP LLC	044	MTOR	B	11,100	6.00	n/a	n/a	333.00	3.0
TALPION LLC	040	MW	B	9,000	27.50	n/a	n/a	360.00	4.0
GREEN ARROW DOUG	040	NDSN	B	5,000	48.35	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	PLCE	S	2,000	55.04	n/a	22-Nov	200.00	10.0
ROYCE TRADING	031	PLCE	B	700	53.90	n/a	22-Nov	35.00	5.0
SURVEYOR CAPITAL	251	RF	B	120,627	4.18	n/a	n/a	3,618.81	3.0
LATEFF MGMT	035	RKT	B	3,000	57.18	n/a	10-Nov	360.00	12.0
SENATOR INVESTMENT GROUP	036	SHW	B	25,000	86.52	n/a	7-Nov	750.00	3.0
M&I FUNDS	047	SLXP	S	18,789	44.00	n/a	30-Nov	751.56	4.0
SURVEYOR CAPITAL	251	STI	B	27,345	18.24	n/a	n/a	820.35	3.0
FIRST NEW YORK NICK	029	S	B	20,000	2.61	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	251	TOL	SS	47,847	21.02	n/a	n/a	1,435.41	3.0
VISIUM/BALY BOBBY	044	TOL	SS	10,000	21.28	n/a	n/a	500.00	5.0
DEVENNY CAP LLC	044	TYC	B	3,000	47.37	n/a	16-Nov	90.00	3.0
HARVEST MGMT	029	URBN	SS	10,000	27.41	n/a	n/a	400.00	4.0
MASTERS CAPITAL MANAGE	025	WNR	B	100,000	12.88	n/a	n/a	4,000.00	4.0
LONG POND	029	WY	B	110,000	16.92	n/a	28-Oct	5,500.00	5.0
TOTAL (Trade Date):								91,709.09	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									91,709.09
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									91,709.09

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