



Daily Compliance Activity Report

Trade Date: 11/02/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	2,000	396.89	n/a	n/a	80.00	4.0
DE SHAW	070	AAP	B	55,000	64.92	n/a	n/a	1,650.00	3.0
BALYASNY ASSET MGMT	044	ANF	B	20,000	74.54	n/a	28-Oct	1,000.00	5.0
WAGONHOUND/NICOLAS	033	ARCO	B	25,000	22.97	n/a	31-Oct	1,000.00	4.0
BALYASNY ASSET MGMT	044	ASNA	C	25,000	28.49	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	AXL	SS	100,000	9.15	n/a	31-Oct	4,000.00	4.0
CHARTER OAK	033	BDX	B	12,500	71.37	n/a	n/a	625.00	5.0
ASCEND PARTNERS	033	BIG	S	25,000	38.17	n/a	1-Nov	750.00	3.0
MATRIX ASSET ADV.	091	BK	S	6,000	20.71	n/a	19-Oct	240.00	4.0
IMPALA ASSET MMT	040	BLL	S	8,500	34.05	n/a	n/a	340.00	4.0
PIONEER PATH	028	BMY	S	140,000	31.13	n/a	n/a	4,200.00	3.0
BNP PARIBAS SEC	040	BWA	SS	10,000	74.47	n/a	31-Oct	500.00	5.0
COOPER CREEK PART	028	BZ	B	25,000	5.89	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	CHS	SS	50,000	12.44	n/a	5-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	CLGX	B	10,000	12.08	n/a	n/a	400.00	4.0
SIMMONS VENTURES	041	COH	SS	5,000	63.97	n/a	26-Oct	200.00	4.0
BRONSON POINT	036	CROX	SS	50,000	17.84	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	DAN	SS	105,000	13.72	n/a	28-Oct	5,250.00	5.0
FORTRESS INVESTMENT (US)	036	DAN	B	20,000	13.73	n/a	28-Oct	600.00	3.0
PLATTE RIVER CAPITAL	240	DAN	B	31,000	13.56	n/a	28-Oct	1,240.00	4.0
WEISS PECK - ROBECO INV		040	DKS	SS	4,200	39.24	n/a	16-Aug	210.00 5.0
BESSEMER INVESTMENT	085	EL	S	1,500	99.78	n/a	16-Aug	60.00	4.0
STANDARD PACIFIC CAPITAL	084	EMR	B	130,000	49.93	n/a	n/a	6,500.00	5.0
UBS OCONNOR	031	EVR	C	56,468	27.17	n/a	n/a	1,694.04	3.0
BMO NESBITT BURNS	041	FOR	B	5,000	13.18	n/a	17-Oct	200.00	4.0
BESSEMER INVESTMENT	085	GE	S	945	16.30	n/a	n/a	37.80	4.0
DSG CAPITAL	030	GLW	B	20,000	14.18	n/a	31-Oct	600.00	3.0
KAM ADVISORS LLC	041	HD	C	40,000	35.90	n/a	16-Aug	1,200.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	6,000	27.25	n/a	27-Oct	300.00	5.0
RIDGECREST INV MGMT LLC	028	IP	B	10,000	27.52	n/a	27-Oct	500.00	5.0
ADAGE CAPITAL MGMT	030	JCP	S	150,000	32.61	n/a	28-Oct	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	JCP	SS	20,000	32.55	n/a	28-Oct	600.00	3.0
DECADE CAPITAL PARTNERS	040	KBH	B	45,700	6.84	n/a	n/a	1,828.00	4.0
NEUBERGER BERMAN	036	KEY	B	68,000	7.00	n/a	n/a	2,720.00	4.0
SOROS	036	KEY	B	70,000	7.15	n/a	n/a	2,100.00	3.0
NEWLAND CAPITAL MGT	025	KOG	S	25,000	6.93	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	KSS	C	30,200	54.35	n/a	28-Oct	1,510.00	5.0
UBS OCONNOR	031	LAZ	S	44,600	26.83	n/a	27-Oct	1,338.00	3.0
DECADE CAPITAL PARTNERS	040	MDC	B	18,500	21.39	n/a	n/a	740.00	4.0
OZ MGMT	040	MGA	SS	125,000	35.18	n/a	n/a	3,750.00	3.0
BESSEMER INVESTMENT	085	MSFT	S	320	25.89	n/a	n/a	12.80	4.0
DECADE CAPITAL PARTNERS	040	MTH	SS	22,500	17.69	n/a	n/a	900.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	3,000	27.37	n/a	26-Oct	150.00	5.0
TRELLUS PARTNERS LP	028	M	SS	50,000	30.82	n/a	28-Oct	2,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	S	120,000	50.50	n/a	n/a	3,600.00	3.0
IMPALA ASSET MMT	040	PFCB	B	9,731	31.46	n/a	28-Oct	389.24	4.0
BESSEMER INVESTMENT	085	PFE	S	380	19.48	n/a	n/a	15.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
DECADE CAPITAL PARTNERS	040	PHM	S	60,000	5.21	n/a	n/a	2,400.00	4.0	
BNP PARIBAS SEC	040	PKG	SS	20,000	25.70	n/a	18-Oct	1,000.00	5.0	
ROARING BLUE LION MGMT	031	PLCE	S	2,400	47.50	n/a	18-Aug	96.00	4.0	
MERRILL ASSET/BLACKROCK	297	PRA	S	1,000	75.49	n/a	n/a	40.00	4.0	
TALPION LLC	040	RDEN	B	2,823	33.70	n/a	31-Aug	112.92	4.0	
COOPER CREEK PART	028	RKT	B	5,000	59.42	n/a	17-Oct	200.00	4.0	
BASIX	033	RRR	B	25,000	9.57	n/a	21-Oct	750.00	3.0	
CATAPULT	040	SD	B	25,000	7.90	n/a	n/a	1,000.00	4.0	
ADALY INV MGMT	031	SPY	B	15,000	123.60	n/a	n/a	900.00	6.0	
ROARING BLUE LION MGMT	031	SSI	B	10,400	14.76	n/a	n/a	416.00	4.0	
BALYASNY ASSET MGMT	044	TGT	B	20,000	53.60	n/a	1-Nov	1,000.00	5.0	
WEISS PECK - ROBECO INV		040	URBN	C	9,500	27.11	n/a	n/a	475.00	5.0
RIDGECREST INV MGMT LLC	028	VRA	S	10,000	42.97	n/a	n/a	500.00	5.0	
IMPALA ASSET MMT	040	WLL	B	7,000	47.16	n/a	n/a	350.00	5.0	
TALPION LLC	040	WMT	SS	5,000	56.83	n/a	13-Oct	200.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	WTS	S	11,300	30.99	n/a	n/a	452.00	4.0
BESSEMER INVESTMENT	085	WYNN	S	1,950	132.25	n/a	13-Jun	78.00	4.0
TOTAL (Trade Date):								76,750.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	11/02	COOPER CREEK PART (COOPGS)	028	BZ	B	25,000	5.89	n/a	n/a	750.00	3.0
AO,	11/01	CAMBIAR CAP (CAMB10)	098	HSP	B	30	30.92	n/a	31-Oct	1.20	4.0
AO,CXL	11/01	BMO NESBITT BURNS (BMONFLIP)	041	IP	B	3,000	27.24	n/a	27-Oct	150.00	5.0
AO,CRT	11/01	BMO NESBITT BURNS (BMONFLIP)	041	IP	B	3,000	27.24	n/a	27-Oct	120.00	4.0
AO,CXL	11/01	BMO NESBITT BURNS (BMONFLIP)	041	MWV	SS	3,000	27.30	n/a	26-Oct	150.00	5.0
AO,CRT	11/01	BMO NESBITT BURNS (BMONFLIP)	041	MWV	SS	3,000	27.30	n/a	26-Oct	120.00	4.0
AO,CXL	11/01	BMO NESBITT BURNS (BMONFLIP)	041	PKG	SS	3,000	25.51	n/a	18-Oct	150.00	5.0
AO,CRT	11/01	BMO NESBITT BURNS (BMONFLIP)	041	PKG	SS	3,000	25.51	n/a	18-Oct	120.00	4.0
AO,CXL	11/01	BMO NESBITT BURNS (BMONFLIP)	041	RKT	B	2,000	58.09	n/a	17-Oct	100.00	5.0
AO,CRT	11/01	BMO NESBITT BURNS (BMONFLIP)	041	RKT	B	2,000	58.09	n/a	17-Oct	80.00	4.0
AO,	11/01	COLUMBUS CIRCLE (COLC3050)	036	STMP	B	1,354	30.19	n/a	n/a	10.16	0.8
AO,	11/01	COLUMBUS CIRCLE (COLC3050)	036	STMP	B	329	29.70	n/a	n/a	2.47	0.8
AO,CXL	11/01	BMO NESBITT BURNS (BMONFLIP)	041	WY	B	2,000	17.53	n/a	28-Oct	100.00	5.0
AO,CRT	11/01	BMO NESBITT BURNS (BMONFLIP)	041	WY	B	2,000	17.53	n/a	28-Oct	80.00	4.0
TOTAL (AO, CXL, CRT) :										633.83	

TOTAL (Trade Date) :

76,750.00

TOTAL (AO, CXL, CRT):

633.83

TOTAL (RUN DATE) / NFS:

77,383.83

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