



## 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	B	745	392.95	n/a	n/a	37.25	5.0
DEVENNY CAP LLC	044	AA	B	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	C	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	B	1,732	42.69	n/a	n/a	69.28	4.0
PZENA INV ADV	044	BAC	B	22,775	5.51	n/a	5-Dec	797.13	3.5
CATAPULT	040	BA	B	1,176	72.18	n/a	29-Nov	47.04	4.0
LATEFF MGMT	035	BLL	B	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	B	2,500	65.44	n/a	9-Nov	75.00	3.0
SURVEYOR CAPITAL	251	CAT	B	2,000	94.54	n/a	25-Oct	60.00	3.0
CHESAPEAKE PARTNERS	028	CMC	B	10,000	14.00	n/a	n/a	300.00	3.0
THE JAY GOLDMAN	028	COH	B	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	B	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	B	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	B	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	B	150	16.57	n/a	n/a	30.00	20.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	13.33	n/a	12-Dec	400.00	4.0
CATAPULT	040	HAR	B	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	B	41,600	26.84	n/a	n/a	1,456.00	3.5
PILOT ADV	041	INTC	B	13,000	24.03	n/a	n/a	390.00	3.0
CATAPULT	040	ITT	B	4,206	19.70	n/a	n/a	168.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	IVN	B	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	B	10,000	50.25	n/a	2-Dec	400.00	4.0
KACELA CAPITAL	034	LEA	SS	25,000	38.29	n/a	31-Oct	1,000.00	4.0
OSKIE CAPITAL MGMT	224	LEA	B	20,000	36.94	n/a	31-Oct	1,000.00	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	B	5,000	38.54	n/a	26-Oct	150.00	3.0
SURVEYOR CAPITAL	251	PCP	B	2,000	154.90	n/a	28-Oct	60.00	3.0
LATEFF MGMT	035	PKG	B	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	B	3,836	15.25	n/a	n/a	153.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	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	B	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	B	117,950	64.97	n/a	n/a	4,718.00	4.0
CATAPULT	040	TGI	B	752	57.63	n/a	n/a	30.08	4.0
MOORE CAPITAL	041	TIN	B	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	B	25,600	72.33	n/a	n/a	1,024.00	4.0
CATAPULT	040	XPO	B	4,400	11.59	n/a	n/a	176.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>35,928.45</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									35,928.45
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									35,928.45
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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