



## Daily Compliance Activity Report

Trade Date: 11/28/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	200	9.49	n/a	n/a	30.00	15.0
OHIO PERS	047	AMZN	B	9,000	191.80	n/a	n/a	270.00	3.0
CADIAN CAPITAL	041	ANF	B	125,000	46.93	n/a	17-Nov	3,750.00	3.0
BALYASNY ASSET MGMT	044	ASNA	C	10,000	26.52	n/a	n/a	500.00	5.0
SURVEYOR CAPITAL	041	ASNA	SS	39,386	26.45	n/a	n/a	1,181.58	3.0
LATEFF MGMT	035	BBT	B	250	21.90	n/a	n/a	50.00	20.0
RIDGECREST INV MGMT LLC	028	BIG	B	15,000	38.27	n/a	3-Nov	750.00	5.0
SURVEYOR CAPITAL	041	BIG	B	54,318	38.02	n/a	3-Nov	1,629.54	3.0
<b>Ann Bettendorf Freeman</b>		<b>BOE</b>	<b>S</b>	<b>98</b>	<b>13.5400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	BWA	SS	2,000	62.77	n/a	9-Nov	80.00	4.0
PATTEN & PATTEN	025	CAT	S	50	90.96	n/a	25-Oct	2.50	5.0
LATEFF MGMT	035	CBL	B	150	13.19	n/a	n/a	30.00	20.0
PATTEN & PATTEN	025	CBT	S	500	31.17	n/a	10-Nov	25.00	5.0
SANDLER CAPITAL	028	CLR	S	130,900	64.57	n/a	n/a	6,545.00	5.0
PATTEN & PATTEN	025	COP	B	175	67.46	n/a	n/a	8.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	CSX	B	70,000	20.65	n/a	n/a	2,800.00	4.0
PATTEN & PATTEN	025	CTXS	S	75	68.30	n/a	n/a	3.75	5.0
ST OF MICHIAN	047	C	S	153,300	25.25	n/a	23-Nov	4,599.00	3.0
SURVEYOR CAPITAL	041	DG	S	52,192	38.90	n/a	19-Oct	1,565.76	3.0
PATTEN & PATTEN	025	DLR	B	200	63.29	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	DOW	S	100	25.78	n/a	1-Nov	5.00	5.0
LATEFF MGMT	035	DRE	B	300	11.02	n/a	n/a	30.00	10.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>30,000</b>	<b>45.10</b>	<b>n/a</b>	<b>11-Feb</b>	<b>900.00</b>	<b>3.0</b>
PATTEN & PATTEN	025	ETN	S	400	42.36	n/a	24-Oct	20.00	5.0
SURVEYOR CAPITAL	041	ETN	B	16,000	42.39	n/a	24-Oct	480.00	3.0
CAISSE DEPOT PLACEMENT Q	295	FFIV	SS	7,000	104.40	n/a	n/a	210.00	3.0
ROARING BLUE LION MGMT	031	FL	B	5,800	23.26	n/a	18-Nov	232.00	4.0
ARSENAL ASSET MANAGEMENT	028	GDI	B	1,200	77.67	n/a	n/a	48.00	4.0
KLEINHEINZ CAP PART	031	GIL	B	40,000	23.25	n/a	21-Oct	2,000.00	5.0
PATTEN & PATTEN	025	GOV	B	600	20.83	n/a	n/a	30.00	5.0
BRANDWINE	028	HBI	B	175,000	23.79	n/a	3-Nov	7,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	HBI	B	25,000	23.93	n/a	3-Nov	750.00	3.0
BMO NESBITT BURNS	041	HD	B	2,000	37.41	n/a	16-Nov	100.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	HD	B	4,000	37.40	n/a	16-Nov	200.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	6,500	22.79	n/a	n/a	260.00	4.0
SUN AMERICA ASSET MGMT	030	HPQ	S	1,100	25.65	n/a	n/a	44.00	4.0
PATTEN & PATTEN	025	IEF	B	125	104.16	n/a	n/a	6.25	5.0
DEVENNY CAP LLC	044	IR	S	9,400	30.80	n/a	20-Oct	282.00	3.0
PATTEN & PATTEN	025	JCI	B	100	28.93	n/a	21-Nov	5.00	5.0
RAIL-SPLITTER	031	JCI	B	35,000	28.97	n/a	21-Nov	1,750.00	5.0
LATEFF MGMT	035	JPM	B	325	29.69	n/a	23-Nov	71.25	22.5
LATEFF MGMT	035	KFT	S	225	34.95	n/a	n/a	45.00	20.0
BNP PARIBAS SEC	040	KSS	B	20,000	52.40	n/a	28-Nov	1,000.00	5.0
COPIA CAPITAL	031	LEA	S	20,187	41.28	n/a	31-Oct	706.55	3.5
SURVEYOR CAPITAL	041	LEA	B	4,000	41.74	n/a	31-Oct	120.00	3.0
CAISSE DEPOT PLACEMENT Q	295	LLTC	SS	25,000	29.21	n/a	n/a	750.00	3.0
BMO NESBITT BURNS	041	LOW	B	4,000	23.52	n/a	16-Nov	200.00	5.0
PATTEN & PATTEN	025	LQD	B	200	110.01	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	MMM	B	5,000	77.60	n/a	8-Nov	150.00	3.0
PATTEN & PATTEN	025	MO	B	400	27.58	n/a	n/a	20.00	5.0
ST OF MICHIAN	047	MS	S	626,600	14.16	n/a	23-Nov	18,798.00	3.0
VISIUM/BALY BOBBY	044	MT	SS	5,000	16.79	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	31.15	n/a	28-Nov	300.00	3.0
PATTEN & PATTEN	025	NUAN	S	150	23.43	n/a	n/a	7.50	5.0
LATEFF MGMT	035	NYB	B	500	11.61	n/a	19-Oct	50.00	10.0
LATEFF MGMT	035	NYB	S	200	11.61	n/a	19-Oct	30.00	15.0
<b>Õ Ann Bettendorf Freeman</b>		<b>ORCL</b>	<b>S</b>	<b>306</b>	<b>29.9600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	PHO	S	600	16.23	n/a	n/a	30.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	25,000	53.69	n/a	22-Nov	1,250.00	5.0
TALPION LLC	040	PRISB	S	20,300	4.90	n/a	n/a	406.00	2.0
TALPION LLC	040	PRIS	C	20,300	4.34	n/a	n/a	406.00	2.0
CAMBIAR CAP	046	PRX	S	68,170	30.92	n/a	28-Nov	2,726.80	4.0
SURVEYOR CAPITAL	041	PVH	B	25,000	67.76	n/a	21-Oct	750.00	3.0
PATTEN & PATTEN	025	PWR	S	500	19.85	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHESAPEAKE PARTNERS	028	RAH	S	10,000	81.00	n/a	n/a	300.00	3.0
CAISSE DEPOT PLACEMENT Q	295	RFMD	B	65,000	5.71	n/a	n/a	1,950.00	3.0
BALYASNY ASSET MGMT	044	RKT	SS	15,000	54.92	n/a	10-Nov	750.00	5.0
COLUMBUS CIRCLE	036	SFLY	S	6,900	32.70	n/a	n/a	276.00	4.0
ARSENAL ASSET MANAGEMENT	028	SHW	SS	15,000	84.16	n/a	7-Nov	600.00	4.0
ADALY INV MGMT	031	SPY	SS	23,000	119.77	n/a	n/a	1,380.00	6.0
ROARING BLUE LION MGMT	031	SSI	B	10,000	12.26	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	SWN	S	400	36.79	n/a	10-Nov	20.00	5.0
LATEFF MGMT	035	TEVA	S	75	38.02	n/a	28-Nov	22.50	30.0
BMO NESBITT BURNS	041	TGT	SS	2,000	51.99	n/a	17-Nov	100.00	5.0
LATEFF MGMT	035	TRV	B	175	54.29	n/a	n/a	35.00	20.0
PATTEN & PATTEN	025	TSCO	S	150	70.73	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	T	B	400	27.97	n/a	n/a	20.00	5.0
LATEFF MGMT	035	UAL	B	500	16.64	n/a	n/a	50.00	10.0
PATTEN & PATTEN	025	UAL	S	600	16.79	n/a	n/a	30.00	5.0
SURVEYOR CAPITAL	041	URBN	SS	39,683	26.08	n/a	n/a	1,190.49	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	VC	S	12,000	52.95	n/a	n/a	360.00	3.0
HOPLITE MGMT	025	WAG	SS	239,132	32.73	n/a	n/a	9,565.28	4.0
SURVEYOR CAPITAL	041	WFM	S	25,000	65.39	n/a	n/a	750.00	3.0
SCOPUS FUND	041	WSM	SS	25,000	35.98	n/a	n/a	1,000.00	4.0
VISIUM/BALY BOBBY	044	XLB	SS	5,000	32.70	n/a	n/a	250.00	5.0
SENATOR INVESTMENT GROUP	036	XLI	SS	100,000	32.05	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	025	XOM	B	150	76.41	n/a	n/a	7.50	5.0
SURVEYOR CAPITAL	041	YUM	S	25,000	54.32	n/a	28-Nov	750.00	3.0
CONIFER/FIRESTORM/BC	033	ZQK	S	25,000	2.89	n/a	10-May	750.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	22.03	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>90,224.50</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/25	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	PG	B	106,451	61.48	n/a	16-Nov	5322.55 5.0
AO,CXL	11/25	STANDARD PACIFIC CAPITAL (SPACUBS)	084	PG	B	106,451	61.48	n/a	16-Nov	5322.55 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	90,224.50
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>90,224.50</b>
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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