



# Daily Compliance Activity Report

Trade Date: 10/20/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	AF	B	52,000	7.95	n/a	20-Oct	1,560.00	3.0
ROTHSCHILD ASSET	040	AIT	S	10,000	30.57	n/a	n/a	400.00	4.0
CATAPULT	040	ALB	B	5,000	45.56	n/a	n/a	200.00	4.0
LATEFF MGMT	035	ALL	B	875	26.24	n/a	n/a	87.50	10.0
DEVENNY CAP LLC	044	AN	B	10,000	37.64	n/a	19-Oct	300.00	3.0
SENATOR INVESTMENT GROUP	036	AOS	B	12,500	32.83	n/a	18-Aug	375.00	3.0
FARBER/WEISS PECK	085	ARCO	B	55,000	22.07	n/a	17-Oct	2,200.00	4.0
UNICOM CAPITAL	033	ARCO	B	12,500	22.00	n/a	17-Oct	625.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	ARCO	B	10,000	21.94	n/a	17-Oct	500.00	5.0
ROTHSCHILD ASSET	040	ARE	B	1,183	64.80	n/a	n/a	47.32	4.0
FORTRESS INVESTMENT (US)	036	AXP	B	25,000	45.39	n/a	19-Oct	1,000.00	4.0
LATEFF MGMT	035	BBT	B	200	22.54	n/a	n/a	40.00	20.0
MACQUARIE INVESTMENT MGMT.	040	BIG	B	5,000	36.67	n/a	25-Aug	0.00	0.0
BRANDWINE	028	BK	B	594,600	20.12	n/a	19-Oct	23,784.00	4.0
BARON ASSET MGMT*	085	CAKE	B	95,000	25.94	n/a	20-Oct	3,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	070	CBE	S	43,300	50.99	n/a	16-Sep	1,732.00	4.0
MERRILL ASSET/BLACKROCK	297	CBG	B	25,000	14.33	n/a	n/a	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	CHS	B	50,000	12.01	n/a	5-Feb	2,000.00	4.0
STANDARD PACIFIC CAPITAL	084	CVS	S	100,000	34.60	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	CYMI	S	27,600	42.41	n/a	n/a	1,104.00	4.0
SASCO	033	EP	S	37,300	24.82	n/a	n/a	1,492.00	4.0
SASCO	033	FBHS	B	11,200	15.04	n/a	n/a	448.00	4.0
LATEFF MGMT	035	FMER	B	1,000	12.69	n/a	n/a	100.00	10.0
LATEFF MGMT	035	GLW	B	750	13.21	n/a	23-Sep	75.00	10.0
DEVENNY CAP LLC	044	GNTX	B	16,100	27.54	n/a	19-Oct	483.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	HAR	SS	10,000	34.96	n/a	3-Feb	500.00	5.0
<b>&amp;HOFFMAN</b>	<b>014</b>	<b>HELM CAPITAL GROUP</b>	<b>S</b>	<b>35,700</b>	<b>0.00</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
M&I FUNDS	047	HRS	S	53,852	36.21	n/a	17-Oct	2,154.08	4.0
LATEFF MGMT	035	INTC	S	300	23.74	n/a	n/a	45.00	15.0
ELM RIDGE ADVISORS	044	IP	S	471,000	25.60	n/a	17-Oct	18,840.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	ITUB	C	100,000	17.68	n/a	n/a	4,000.00	4.0
OHIO PERS	047	JNPR	B	110,000	20.55	n/a	n/a	3,300.00	3.0
LATEFF MGMT	035	KFT	S	450	35.12	n/a	n/a	90.00	20.0
LATEFF MGMT	035	KMB	S	200	71.88	n/a	25-Jul	50.00	25.0
BALLAST CAP	040	LKQX	S	20,000	26.92	n/a	n/a	1,000.00	5.0
OZ MGMT	040	MGA	C	116,380	35.79	n/a	n/a	3,491.40	3.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	16.59	n/a	19-Oct	2,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	M	S	325,600	29.35	n/a	7-Oct	9,768.00	3.0
OSKIE CAPITAL MGMT	224	NTRS	SS	17,000	37.61	n/a	19-Oct	850.00	5.0
LATEFF MGMT	035	NUE	S	400	35.95	n/a	n/a	88.00	22.0
LATEFF MGMT	035	NYB	S	250	12.19	n/a	19-Oct	30.00	12.0
NEUBERGER BERMAN	036	OHI	B	2,622	16.80	n/a	n/a	104.88	4.0
NEUBERGER BERMAN	036	PENN	S	35,100	36.93	n/a	n/a	1,404.00	4.0
KACELA CAPITAL	034	PG	B	10,000	65.06	n/a	10-Oct	400.00	4.0
LIONEYE CAPITAL	040	PSS	B	8,500	14.45	n/a	n/a	425.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	RLI	S	1,600	69.16	n/a	n/a	64.00	4.0
LATEFF MGMT	035	SFG	S	250	30.35	n/a	n/a	50.00	20.0
FORTRESS INVESTMENT (US)	036	SLM	S	60,000	13.24	n/a	20-Oct	1,800.00	3.0
ROTHSCHILD ASSET	040	SXCI	B	853	55.30	n/a	n/a	34.12	4.0
LATEFF MGMT	035	SYI	S	600	26.37	n/a	n/a	78.00	13.0
LATEFF MGMT	035	TEVA	B	200	38.60	n/a	17-Oct	60.00	30.0
LATEFF MGMT	035	TRV	S	125	54.49	n/a	n/a	37.50	30.0
NEW JERSEY DIV OF INV.	030	TXT	S	150,000	18.46	n/a	n/a	6,000.00	4.0
BALLAST CAP	040	UNP	B	4,500	94.46	n/a	n/a	225.00	5.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,900	30.09	n/a	12-Oct	476.00	4.0
SONTERRA CAP	041	VALE	SS	50,000	22.14	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	WDC	S	4,993	24.52	n/a	n/a	199.72	4.0
LATEFF MGMT	035	WMT	S	150	56.50	n/a	13-Oct	42.00	28.0
BALLAST CAP	040	WSO	B	1,700	57.81	n/a	n/a	85.00	5.0
MACQUARIE INVESTMENT MGMT.	040	YUM	SS	5,000	51.70	n/a	5-Oct	0.00	0.0

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**TOTAL (Trade Date):**

**108,544.52**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/20	&HOFFMAN (&HOFFMAN)	014		S	25,000	0.00	n/a	n/a	0.00 0.0
CRT	10/20	&HOFFMAN (&HOFFMAN)	014		S	10,700	0.00	n/a	n/a	0.00 0.0
CRT	10/20	UNICOM CAPITAL (UNICCITIPB)	033	ARCO	B	12,500	22.00	n/a	17-Oct	625.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>625.00</b>
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TOTAL (Trade Date) :	108,544.52
TOTAL (AO, CXL, CRT) :	625.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>109,169.52</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