

## **Daily Compliance Activity Report** Trade Date: 12/14/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

					101	TRUBE VIOLATIONS:			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
HARVEST MGMT	029	AAP	В	5 <b>,</b> 500	67.00	n/a	n/a	220.00	4.0
PATTEN & PATTEN	025	AGG	В	1,000	109.84	n/a	n/a	50.00	5.0
OZ MGMT	040	ANF	S	42 <b>,</b> 575	46.42	n/a	17-Nov	1,277.25	3.0
PATTEN & PATTEN	025	BAB	В	500	28.65	n/a	n/a	25.00	5.0
OZ MGMT	040	BWA	S	75 <b>,</b> 000	62.54	n/a	9-Nov	2,250.00	3.0
ARMATURE CAPITAL	041	CAT	S	25 <b>,</b> 000	87.02	n/a	25-Oct	1,000.00	4.0
OHIO PERS	047	CBS	S	132,322	24.91	n/a	n/a	3,969.66	3.0
TUDOR INVESTORS	028	COLM	SS	13,982	47.76	n/a	n/a	419.46	3.0
HARVEST MGMT	029	DG	В	10,000	40.90	n/a	5-Dec	400.00	4.0
OHIO PERS	047	DIS	В	90,000	35.48	n/a	n/a	2,700.00	3.0
DAVIDSON INV ADV	035	DVN	В	21,975	61.38	n/a	13-Dec	879.00	4.0
NEWLAND CAPITAL MGT	025	FDX	S	1,796	77.34	n/a	n/a	71.84	4.0
TUDOR INVESTORS	028	FOSL	SS	10,000	81.47	n/a	n/a	300.00	3.0
DEVENNY CAP LLC	044	F	В	10,000	10.20	n/a	2-Dec	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ROBERTSON STEVENS BC	041	GGG	В	14,850	39.16	n/a	n/a	594.00	4.0
OZ MGMT	040	GM	С	116,568	19.50	n/a	2-Dec	3,497.04	3.0
DEVENNY CAP LLC	044	GPI	SS	2 <b>,</b> 500	49.11	n/a	26-Oct	75.00	3.0
DEVENNY CAP LLC	044	GTI	В	12,500	13.33	n/a	n/a	375.00	3.0
SONTERRA CAP	041	HAS	SS	50,000	34.06	n/a	n/a	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	HBAN	S	300,000	5.03	n/a	n/a	12,000.00	4.0
SENATOR INVESTMENT GROUP	036	HD	SS	318,744	39.01	n/a	8-Dec	9,562.32	3.0
HOPLITE MGMT	025	HPQ	SS	68 <b>,</b> 795	26.26	n/a	n/a	2,751.80	4.0
ROBERTSON STEVENS BC	084	HXL	В	45,000	23.34	n/a	8-Dec	1,800.00	4.0
PATTEN & PATTEN	025	IAU	S	4,500	15.51	n/a	n/a	225.00	5.0
SUFFOLK CAPITAL MGMT	040	IPI	В	23,000	21.24	n/a	n/a	920.00	4.0
MFP INVESTORS	085	JNS	В	24,500	5.98	n/a	n/a	980.00	4.0
ARMATURE CAPITAL	041	КВН	S	100,000	6.98	n/a	n/a	4,000.00	4.0
SURVEYOR CAPITAL	251	NAV	В	13,000	36.11	n/a	14-Sep	390.00	3.0
HIGHFIELDS CAP MGMT	030	NBR	В	225,000	16.28	n/a	n/a	9,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
COOPER CREEK PART PROSPECTOR PARTNERS LLC	028 036	NP NP	B S	10,000	20.47	n/a n/a	9-Nov 9-Nov	400.00	4.0
DEVENNY CAP LLC	044	PAG	В	8,208	19.34	n/a	3-Nov	246.24	3.0
SURVEYOR CAPITAL	251	PCP	В	2,000	152.79	n/a	28-Oct	60.00	3.0
DEVENNY CAP LLC	044	РН	В	10,000	76.31	n/a	19-Oct	300.00	3.0
HARVEST MGMT	029	PIR	S	5,000	13.19	n/a	n/a	200.00	4.0
HOLLIS CAPITAL	033	PLCE	В	7,000	55.52	n/a	22-Nov	350.00	5.0
BNP PARIBAS SEC	040	PVH	В	40,000	67.97	n/a	2-Dec	2,000.00	5.0
ROBERTSON STEVENS BC	084	RDEN	В	55,570	34.67	n/a	6-Dec	2,222.80	4.0
CATAPULT	040	RKT	В	10,000	54.54	n/a	10-Nov	400.00	4.0
RAINIER INV MGMT	035	ROG	S	800	39.26	n/a	n/a	32.00	4.0
SENATOR INVESTMENT GROUP	036	SHW	SS	50,000	83.67	n/a	14-Dec	1,500.00	3.0
NEWLAND CAPITAL MGT	025	SOA	S	50,000	15.05	n/a	n/a	2,000.00	4.0
DEVENNY CAP LLC	044	SPY	В	2,500	122.10	n/a	n/a	75.00	3.0
MERRILL ASSET/BLACKROCK	297	TEL	В	28,100	30.43	n/a	n/a	1,124.00	4.0
DEVENNY CAP LLC	044	TEN	В	5 <b>,</b> 900	26.34	n/a	n/a	177.00	3.0
	COOPER CREEK PART PROSPECTOR PARTNERS LLC  DEVENNY CAP LLC  SURVEYOR CAPITAL  DEVENNY CAP LLC  HARVEST MGMT  HOLLIS CAPITAL  BNP PARIBAS SEC  ROBERTSON STEVENS BC  CATAPULT  RAINIER INV MGMT  SENATOR INVESTMENT GROUP  NEWLAND CAPITAL MGT  DEVENNY CAP LLC  MERRILL ASSET/BLACKROCK	COOPER CREEK PART PROSPECTOR PARTNERS LLC  DEVENNY CAP LLC  SURVEYOR CAPITAL  DEVENNY CAP LLC  HARVEST MGMT  HOLLIS CAPITAL  BNP PARIBAS SEC  O40  ROBERTSON STEVENS BC  CATAPULT  RAINIER INV MGMT  SENATOR INVESTMENT GROUP  DEVENNY CAP LLC  MERRILL ASSET/BLACKROCK  297	COOPER CREEK PART PROSPECTOR PARTNERS LLC  DEVENNY CAP LLC  SURVEYOR CAPITAL  DEVENNY CAP LLC  DEVENNY CAPITAL  DEVENDENT CAPITAL  DEVENDENT CAPITAL  DEVENDENT CAPITAL  DEVENDENT CAPITAL  DEVENDENT CAPITAL  DEVENDENT CAPITAL MGT  DEVENDENT CAPITAL MGT  DEVENDENT CAPITAL MGT  DEVENDENT CAPITAL CAPI	COOPER CREEK PART PROSPECTOR PARTNERS LLC  DEVENNY CAP LLC  044 PAG  B SURVEYOR CAPITAL  251 PCP  B DEVENNY CAP LLC  044 PH  B HARVEST MGMT  029 PIR  S  HOLLIS CAPITAL  033 PLCE  B BNP PARIBAS SEC  040 PVH  B ROBERTSON STEVENS BC  084 RDEN  RAINIER INV MGMT  035 ROG  S SENATOR INVESTMENT GROUP  036 SHW  SS  NEWLAND CAPITAL MGT  025 SOA  S DEVENNY CAP LLC  044 SPY  B MERRILL ASSET/BLACKROCK  297 TEL  B	COOPER CREEK PART PROSPECTOR PARTNERS LLC O36 NP S 10,000  DEVENNY CAP LLC O44 PAG B 8,208  SURVEYOR CAPITAL 251 PCP B 2,000  DEVENNY CAP LLC O44 PH B 10,000  HARVEST MGMT O29 PIR S 5,000  HOLLIS CAPITAL O33 PLCE B 7,000  BNP PARIBAS SEC O40 PVH B 40,000  ROBERTSON STEVENS BC O84 RDEN B 55,570  CATAPULT O40 RAINIER INV MGMT O35 ROG S 800  SENATOR INVESTMENT GROUP O36 SHW SS 50,000  MEWLAND CAPITAL MGT O25 SOA S 50,000  MERRILL ASSET/BLACKROCK 297 TEL B 28,100	COOPER CREEK PART   028 NP	COOPER CREEK PART PROSPECTOR PARTNERS LLC O36 NP S 10,000 20.47 n/a  1,000 1,0	COOPER CREEK PART PROSPECTOR PARTNERS LLC O36 NP S 10,000 20.47 N/a 9-Nov PROSPECTOR PARTNERS LLC O36 NP S 10,000 20.51 N/a 9-Nov PROSPECTOR PARTNERS LLC O44 PAG B 8,208 19.34 N/a 19.34 N/a 28-Oct DEVENNY CAP LLC O44 PH B 10,000 76.31 N/a 19-Oct HARVEST MGMT O29 PIR S 5,000 13.19 N/a 19-Oct PARTHAS SEC O40 PVH B 40,000 67.97 N/a 22-Nov PROBERTSON STEVENS BC O84 RDEN B 55,570 34.67 N/a 6-Dec CATAPULT O40 RKT B 10,000 54.54 N/a 10-Nov RAINIER INV MGMT O35 ROG S 800 39.26 N/a 14-Dec NEWLAND CAPITAL MGT O25 SOA S 50,000 83.67 N/a 14-Dec NEWLAND CAPITAL MGT O25 SOA S 50,000 12.10 N/a N/a MERRILL ASSET/BLACKROCK O44 SPY B 28,100 30.43 N/a N/a N/a	COOPER CREEK PART PROSPECTOR PARTNERS LLC O36 NP S 10,000 20.47 Nn/a 9-Nov 400.00 1000 1000 1000 1000 1000 1000 10

Account	RR #	Symbol	B/S	Shares F	Price MRI	Research	Comm.¢	/Shr.
ROSEDALE CAPITAL	046	TLM	В	10,000 11	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	TLT	В	500 120	n/a	n/a	25.00	5.0
DEVENNY CAP LLC	044	VC	В	5,000 48	3.56 n/a	n/a	150.00	3.0
PZENA INV ADV	044	VR	S	13,075 29	0.70 n/a	n/a	457.63	3.5
SCOPUS FUND	041	WBC	S	35,000 39	0.68 n/a	5-Dec	1,400.00	4.0
BNP PARIBAS SEC	040	WRC	В	50,000 48	3.75 n/a	4-Nov	2,500.00	5.0
NEWLAND CAPITAL MGT	025	WTS	В	15,000 34	1.18 n/a	n/a	600.00	4.0
PERRY PARTNERS	085	YHOO	В	50,000 15	5.00 n/a	n/a	2,500.00	5.0
TUDOR INVESTORS	028	ZUMZ	В	12,500 28	3.13 n/a	n/a	375.00	3.0

TOTAL (Trade Date): 81,927.04

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/13	RIDGECREST INV MGMT LLC (RIDCMSPB	028	SPY	SS	25,000	124.71	n/a	n/a	1250.00	5.0
AO, CRT	12/13	RIDGECREST INV MGMT LLC (RIDCMSPB	028	SPY	SS	25,000	124.71	n/a	n/a	750.00	3.0
TOTAL	(AO, (	CXL, CRT):							_	-500.00	
TOTAL	(Trade	e Date):							81,	927.04	
TOTAL	(AO,	CXL, CRT):							-	-500.00	
TOTAL	(RUN I	DATE) / NFS:							81,	427.04	

## Legend:

O: 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