



Daily Compliance Activity Report

Trade Date: 12/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PROSPECTOR PARTNERS LLC	036	ACGL	S	10,000	36.61	n/a	n/a	400.00 4.0
PROSPECTOR PARTNERS LLC	036	ADP	S	7,800	51.15	n/a	n/a	312.00 4.0
PROSPECTOR PARTNERS LLC	036	AJG	S	6,600	32.57	n/a	n/a	264.00 4.0
BASIX	033	AME	SS	17,000	40.02	n/a	n/a	510.00 3.0
NEUBERGER BERMAN	036	AMT	B	49,894	58.11	n/a	n/a	1,995.76 4.0
PENNANT CAP MGMT	029	BBY	SS	135,000	23.39	n/a	n/a	4,050.00 3.0
PATTEN & PATTEN	025	BP	S	200	41.72	n/a	n/a	10.00 5.0
MILLENNIUM PARTNERS ICSUS	041	BTU	B	50,000	33.02	n/a	n/a	2,000.00 4.0
SURVEYOR CAPITAL	251	CAT	S	5,973	88.09	n/a	25-Oct	179.19 3.0
ADALY INV MGMT	031	CDE	SS	35,000	24.81	n/a	n/a	1,750.00 5.0
PENNANT CAP MGMT	029	COL	S	169,400	53.47	n/a	5-Dec	5,082.00 3.0
GALT INVESTMENT	041	CROX	B	50,000	14.37	n/a	n/a	2,500.00 5.0
OHIO PERS	047	CSCO	B	340,349	18.01	n/a	n/a	10,210.47 3.0
PLATTE RIVER CAPITAL	240	DAN	S	31,000	10.92	n/a	1-Dec	1,240.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	DRI	B	10,000	43.61	n/a	6-Dec	400.00	4.0
OHIO PERS	047	EP	B	129,000	24.83	n/a	n/a	3,870.00	3.0
OHIO PERS	047	EQT	S	58,000	53.71	n/a	n/a	1,740.00	3.0
HOPLITE MGMT	025	ESRX	B	98,236	43.64	n/a	n/a	3,929.44	4.0
RAINIER INV MGMT	035	EWBC	B	50,000	18.60	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	GM	SS	25,000	19.86	n/a	2-Dec	1,250.00	5.0
BNP PARIBAS SEC	040	GM	SS	20,000	19.60	n/a	2-Dec	1,000.00	5.0
MASTERS CAPITAL MANAGE	025	HIG	B	100,000	16.39	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	HON	S	400	52.53	n/a	15-Dec	20.00	5.0
SURVEYOR CAPITAL	251	HON	B	3,000	52.38	n/a	15-Dec	90.00	3.0
PATTEN & PATTEN	025	IYG	B	825	43.84	n/a	n/a	41.25	5.0
OHIO PERS	047	JNPR	S	326,432	18.49	n/a	n/a	9,792.96	3.0
MFP INVESTORS	085	JNS	B	10,000	5.90	n/a	n/a	400.00	4.0
CATAPULT	040	JOY	S	10,000	73.89	n/a	15-Dec	400.00	4.0
PATTEN & PATTEN	025	JPM	S	700	31.82	n/a	15-Dec	35.00	5.0
BASIX	033	KMT	SS	20,000	35.57	n/a	28-Oct	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	KOG	S	55,300	8.24	n/a	n/a	2,212.00	4.0
SANDLER CAPITAL	028	KSU	B	100,000	62.09	n/a	n/a	5,000.00	5.0
COPIA CAPITAL	031	LCC	B	115,088	5.69	n/a	n/a	4,028.09	3.5
COOPER CREEK PART	028	LIZ	B	20,000	7.77	n/a	7-Oct	600.00	3.0
SYSTEMATIC FINANCIAL MGT	035	MWV	B	150,000	28.67	n/a	26-Oct	4,500.00	3.0
THE JAY GOLDMAN	028	M	B	75,000	31.45	n/a	2-Dec	3,000.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	20.69	n/a	9-Nov	400.00	4.0
PATTEN & PATTEN	025	NUE	S	300	38.30	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	047	OXY	S	6,365	88.75	n/a	n/a	318.25	5.0
BAIRD INVESTMENT	047	PCAR	S	9,295	36.56	n/a	26-Oct	464.75	5.0
MOORE CAPITAL	041	PIR	B	17,700	12.90	n/a	n/a	531.00	3.0
BALYASNY ASSET MGMT	044	PKG	B	25,000	24.30	n/a	18-Oct	1,250.00	5.0
NEWLAND CAPITAL MGT	025	PKG	B	59,821	24.25	n/a	18-Oct	2,392.84	4.0
SCOPUS FUND	041	PKG	B	5,800	24.33	n/a	18-Oct	232.00	4.0
Õ Abram Chappel		RIMM	S	75	15.1400	n/a	n/a	0.00	0.0
MILLENNIUM PARTNERS ICSUS	041	RRC	B	25,000	59.45	n/a	13-Dec	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	SBUX	B	10,000	43.53	n/a	11-Nov	400.00	4.0
CHESAPEAKE PARTNERS	028	SEMG	B	283	25.60	n/a	n/a	8.49	3.0
PATTEN & PATTEN	025	SLB	S	300	67.27	n/a	n/a	15.00	5.0
SURVEYOR CAPITAL	251	ST	SS	5,000	27.11	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	TEVA	S	200	42.04	n/a	14-Dec	10.00	5.0
SENATOR INVESTMENT GROUP	036	TSO	B	200,000	21.73	n/a	n/a	6,000.00	3.0
COPIA CAPITAL	031	UAL	B	31,728	20.72	n/a	n/a	1,110.49	3.5
HARVEST MGMT	029	UA	S	6,000	72.40	n/a	26-Oct	240.00	4.0
COOKBIELER	028	UMPQ	S	91,000	12.28	n/a	n/a	3,640.00	4.0
BNP PARIBAS SEC	040	WRC	B	25,000	48.46	n/a	4-Nov	1,250.00	5.0
PATTEN & PATTEN	025	XLF	S	2,900	12.63	n/a	n/a	145.00	5.0
TOTAL (Trade Date) :								98,984.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/14	SENATOR INVESTMENT GROUP (SENAJPM)	036	HD	SS	318,744	39.01	n/a	8-Dec	9562.32 3.0
AO,	12/14	SENATOR INVESTMENT GROUP (SENAGS)	036	HD	SS	318,744	39.01	n/a	8-Dec	9562.32 3.0
AO,CXL	12/14	PERRY PARTNERS (PERRGOLDMA)	085	YHOO	B	50,000	15.00	n/a	n/a	2500.00 5.0
AO,CRT	12/14	PERRY PARTNERS (PERRGOLDMA)	085	YHOO	B	50,000	15.00	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										-1,000.00

TOTAL (Trade Date) :	98,984.98
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	97,984.98
---------------------------------	------------------

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