



Daily Compliance Activity Report

Trade Date: 11/30/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
LATEFF MGMT	035	AA	B	2,250	9.80	n/a	n/a	190.00	10.0	
VISIUM/BALY BOBBY	044	AA	C	20,000	9.72	n/a	n/a	800.00	4.0	
NEWLAND CAPITAL MGT	025	ABD	S	25,000	9.37	n/a	n/a	750.00	3.0	
SIMMONS VENTURES	041	AEO	SS	5,000	14.00	n/a	4-Nov	200.00	4.0	
HOPLITE MGMT	025	AGCO	SS	54,248	45.23	n/a	26-Oct	2,169.92	4.0	
PERRY PARTNERS	085	AMT	B	50,000	59.04	n/a	n/a	2,500.00	5.0	
HIGHBRIDGE CAP	041	ANF	B	6,000	48.45	n/a	17-Nov	180.00	3.0	
MELLON/BANK OF NEW YORK	046	APKT	S	320,660	33.27	n/a	n/a	12,826.40	4.0	
BALYASNY ASSET MGMT	044	ASNA	SS	10,000	27.47	n/a	n/a	500.00	5.0	
TRELLUS PARTNERS LP	028	AXL	SS	40,000	8.51	n/a	31-Oct	1,200.00	3.0	
WAGONHOUND/NICOLAS	033	AXL	SS	49,342	8.65	n/a	31-Oct	1,480.26	3.0	
ASCEND PARTNERS	033	BIG	B	60,656	40.06	n/a	29-Nov	1,819.68	3.0	
OZ MGMT	040	BIG	B	50,000	40.10	n/a	29-Nov	1,500.00	3.0	
WOOSTER CAPITAL	035	BIG	S	25,000	40.17	n/a	29-Nov	1,250.00	5.0	
PATTEN & PATTEN	025	BP	S	392	43.61	n/a	n/a	19.60	5.0	
WEISS PECK - ROBECO INV		040	BWS	S	250,310	8.20	n/a	n/a	10,012.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	CMI	S	4,000	95.01	n/a	26-Oct	120.00	3.0
SCOPUS FUND	041	COST	B	75,000	85.17	n/a	n/a	3,000.00	4.0
PATTEN & PATTEN	025	CSJ	S	1,000	103.78	n/a	n/a	50.00	5.0
DEVENNY CAP LLC	044	CTB	SS	10,000	13.47	n/a	n/a	300.00	3.0
LATEFF MGMT	035	DAL	B	500	7.95	n/a	n/a	50.00	10.0
DEVENNY CAP LLC	044	DAR	SS	10,000	14.20	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	DIS	B	877,800	35.71	n/a	n/a	35,112.00	4.0
LATEFF MGMT	035	DRE	B	1,200	11.33	n/a	n/a	108.00	9.0
MACQUARIE INVESTMENT MGMT.	040	EMR	S	15,000	51.78	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EMR	S	500	51.50	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWJ	S	1,000	9.35	n/a	n/a	50.00	5.0
LATEFF MGMT	035	FMER	B	400	14.08	n/a	n/a	40.00	10.0
HIGHBRIDGE CAP	041	FOSL	B	9,000	89.91	n/a	n/a	270.00	3.0
COLUMBUS CIRCLE	036	FST	B	15,224	15.86	n/a	n/a	437.04	2.5
OZ MGMT	040	F	SS	100,000	10.23	n/a	30-Nov	3,000.00	3.0
TUDOR INVESTORS	028	GD	B	7,000	65.82	n/a	21-Nov	210.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	GLW	B	50,000	13.18	n/a	30-Nov	2,500.00	5.0
BALYASNY ASSET MGMT	044	GM	SS	100,000	20.98	n/a	30-Nov	5,000.00	5.0
DEVENNY CAP LLC	044	GM	B	20,000	21.09	n/a	30-Nov	600.00	3.0
PHILADELPHIA FINANCIAL	033	GM	B	131,444	21.15	n/a	30-Nov	5,257.76	4.0
HAHN CAPITAL MANAGEMENT	084	GTLS	S	26,365	59.94	n/a	n/a	1,318.25	5.0
HIGHBRIDGE CAP	041	HD	S	13,000	39.48	n/a	16-Nov	390.00	3.0
LATEFF MGMT	035	HD	S	300	39.34	n/a	16-Nov	45.00	15.0
BARROW HANLEY MEWHINNEY	031	INTC	S	172,000	24.84	n/a	n/a	6,020.00	3.5
BNP PARIBAS SEC	040	ITW	S	30,000	45.35	n/a	26-Oct	1,500.00	5.0
TUDOR INVESTORS	028	ITW	B	5,000	45.23	n/a	26-Oct	150.00	3.0
STRONG/MARK GRONET	030	JAG	S	30,000	7.11	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	JBHT	B	5,000	45.44	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	JCI	SS	5,000	31.01	n/a	21-Nov	150.00	3.0
WAGONHOUND/NICOLAS	033	JCI	S	26,799	31.04	n/a	21-Nov	1,071.96	4.0
SIMMONS VENTURES	041	JNY	SS	20,000	10.97	n/a	27-Oct	800.00	4.0
CRAMER ROSENTHAL/SCOTT	070	JWN	B	3,600	45.82	n/a	28-Nov	144.00	4.0
NEWLAND CAPITAL MGT	025	KEM	S	10,000	8.04	n/a	n/a	300.00	3.0
LATEFF MGMT	035	KFT	S	150	36.02	n/a	n/a	37.50	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	KSS	B	29,900	53.80	n/a	28-Nov	1,495.00	5.0
MA CAPITAL MGMT/MELLON ADV041		KSS	SS	3,000	53.53	n/a	28-Nov	150.00	5.0
BRONSON POINT	036	K	SS	25,000	48.77	n/a	n/a	750.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	35,000	25.32	n/a	30-Nov	1,750.00	5.0
BRONSON POINT	036	LMT	SS	10,000	77.78	n/a	21-Nov	300.00	3.0
LITESPEED	028	LYB	B	37,000	32.51	n/a	n/a	1,110.00	3.0
TUDOR INVESTORS	028	MLM	S	10,000	77.47	n/a	n/a	300.00	3.0
BRONSON POINT	036	MMM	SS	10,000	79.67	n/a	8-Nov	300.00	3.0
PATTEN & PATTEN	025	MMM	S	200	80.40	n/a	8-Nov	10.00	5.0
BALYASNY ASSET MGMT	044	MW	B	6,100	27.00	n/a	n/a	305.00	5.0
METROPOLITAN CAPITAL	044	M	S	22,400	32.08	n/a	28-Nov	1,120.00	5.0
LATEFF MGMT	035	OLN	S	1,000	18.94	n/a	n/a	100.00	10.0
SONTERRA CAP	041	OSK	S	20,000	20.56	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	PCL	S	5,000	36.28	n/a	25-Oct	150.00	3.0
PATTEN & PATTEN	025	PHO	S	850	16.91	n/a	n/a	42.50	5.0
MA CAPITAL MGMT/MELLON ADV041		PKG	SS	5,000	26.00	n/a	18-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		PKG	S	6,000	26.22	n/a	18-Oct	300.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	8,000	54.53	n/a	22-Nov	400.00	5.0
TUDOR INVESTORS	028	PPG	SS	4,000	87.07	n/a	20-Oct	120.00	3.0
TALPION LLC	040	PRISB	S	1,600	5.33	n/a	n/a	32.00	2.0
TALPION LLC	040	PRIS	C	1,600	4.73	n/a	n/a	32.00	2.0
BNP PARIBAS SEC	040	PVH	S	12,500	68.53	n/a	21-Oct	625.00	5.0
NEWLAND CAPITAL MGT	025	PWR	S	10,000	20.35	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	P	SS	10,000	10.10	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	QCOM	B	165,330	54.79	n/a	n/a	6,613.20	4.0
CHARTER OAK	033	RA	S	61,294	14.09	n/a	n/a	3,064.70	5.0
TUDOR INVESTORS	028	RBC	SS	3,000	52.03	n/a	n/a	90.00	3.0
TUDOR INVESTORS	028	RBN	S	10,000	53.14	n/a	n/a	300.00	3.0
TALPION LLC	040	RDEN	S	10,000	37.78	n/a	31-Aug	400.00	4.0
TUDOR INVESTORS	028	RIG	S	23,450	42.90	n/a	n/a	703.50	3.0
BALYASNY ASSET MGMT	044	RKT	SS	15,000	56.97	n/a	10-Nov	750.00	5.0
MA CAPITAL MGMT/MELLON ADV041		RKT	B	3,000	57.23	n/a	10-Nov	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	RKT	S	5,000	57.48	n/a	10-Nov	150.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	ROST	B	2,000	89.53	n/a	28-Nov	100.00	5.0
COOKBIELER	028	RS	S	72,900	48.31	n/a	n/a	2,916.00	4.0
TUDOR INVESTORS	028	RTN	SS	5,000	45.46	n/a	21-Nov	150.00	3.0
BALYASNY ASSET MGMT	044	SCSS	B	25,000	18.27	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	025	SDS	S	1,000	20.31	n/a	n/a	50.00	5.0
NEWLAND CAPITAL MGT	025	SOA	S	25,000	15.65	n/a	n/a	1,000.00	4.0
YORK CAPITAL	036	SPY	B	300,000	124.16	n/a	n/a	9,000.00	3.0
COPIA CAPITAL	031	SWFT	S	156,870	8.20	n/a	n/a	5,490.45	3.5
CHARTER OAK	033	SWN	B	100,000	36.99	n/a	10-Nov	5,000.00	5.0
DEVENNY CAP LLC	044	TEN	S	10,000	28.51	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	TER	B	33,600	12.95	n/a	n/a	1,344.00	4.0
SCOPUS FUND	041	TGT	S	5,224	51.98	n/a	17-Nov	208.96	4.0
TALPION LLC	040	TGT	S	25,000	52.59	n/a	17-Nov	1,000.00	4.0
TUDOR INVESTORS	028	TKR	S	10,000	42.21	n/a	n/a	300.00	3.0
THREE G	034	TRW	SS	81,600	32.46	n/a	n/a	2,448.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	TXN	B	40,000	29.51	n/a	n/a	1,200.00	3.0
SENATOR INVESTMENT GROUP	036	VAL	S	116,346	36.79	n/a	n/a	3,490.38	3.0
CRAMER ROSENTHAL/SCOTT	070	VSI	B	34,450	36.47	n/a	n/a	1,378.00	4.0
THREE G	034	WAG	SS	50,000	33.58	n/a	n/a	1,500.00	3.0
COPIA CAPITAL	031	WERN	C	55,181	23.13	n/a	n/a	1,931.34	3.5
BRONSON POINT	036	WFC	S	15,000	25.24	n/a	30-Nov	450.00	3.0
HIGHBRIDGE CAP	041	WSM	B	7,000	37.51	n/a	n/a	210.00	3.0
TUDOR INVESTORS	028	WY	B	15,000	16.45	n/a	28-Oct	450.00	3.0
CHESAPEAKE PARTNERS	028	XCO	S	25,000	11.65	n/a	n/a	750.00	3.0
SURVEYOR CAPITAL	041	XYL	S	5,000	24.00	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	X	SS	15,000	26.42	n/a	n/a	450.00	3.0
CONIFER/ISF	025	ZQK	S	15,000	3.04	n/a	10-May	450.00	3.0
TOTAL (Trade Date) :								173,234.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/29	PERRY PARTNERS (PERRGOLDMA)	085	ASH	S	30,000	50.25	n/a	22-Nov	1200.00 4.0
AO,CRT	11/29	PERRY PARTNERS (PERRGOLDMA)	085	ASH	S	30,000	50.25	n/a	22-Nov	1500.00 5.0
AO,CXL	11/29	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	BIG	B	120,000	39.35	n/a	29-Nov	0.00 0.0
AO,	11/29	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	BIG	B	120,000	39.35	n/a	29-Nov	6000.00 5.0
AO,CXL	11/29	RBC CAPITAL MARKETS (RBCCMAIN)	040	BIG	S	5,000	39.27	n/a	29-Nov	200.00 4.0
AO,CRT	11/29	RBC CAPITAL MARKETS (RBCCMAIN)	040	BIG	S	15,000	39.22	n/a	29-Nov	600.00 4.0
AO,CXL	11/29	WOOSTER CAPITAL (WOOSGOLDMA)	035	BIG	B	15,000	39.07	n/a	29-Nov	750.00 5.0
AO,CRT	11/29	WOOSTER CAPITAL (WOOSGOLDMA)	035	BIG	B	25,000	39.07	n/a	29-Nov	1250.00 5.0

TOTAL (AO, CXL, CRT) :**7,200.00**

TOTAL (Trade Date) :

173,234.80

TOTAL (AO, CXL, CRT) :

7,200.00

TOTAL (RUN DATE) / NFS:**180,434.80**

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