



## Daily Compliance Activity Report

Trade Date: 12/14/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	AAP	B	5,500	67.00	n/a	n/a	220.00	4.0
PATTEN & PATTEN	025	AGG	B	1,000	109.84	n/a	n/a	50.00	5.0
OZ MGMT	040	ANF	S	42,575	46.42	n/a	17-Nov	1,277.25	3.0
PATTEN & PATTEN	025	BAB	B	500	28.65	n/a	n/a	25.00	5.0
OZ MGMT	040	BWA	S	75,000	62.54	n/a	9-Nov	2,250.00	3.0
ARMATURE CAPITAL	041	CAT	S	25,000	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	B	10,000	40.90	n/a	5-Dec	400.00	4.0
OHIO PERS	047	DIS	B	90,000	35.48	n/a	n/a	2,700.00	3.0
DAVIDSON INV ADV	035	DVN	B	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	B	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	B	14,850	39.16	n/a	n/a	594.00	4.0
OZ MGMT	040	GM	C	116,568	19.50	n/a	2-Dec	3,497.04	3.0
DEVENNY CAP LLC	044	GPI	SS	2,500	49.11	n/a	26-Oct	75.00	3.0
DEVENNY CAP LLC	044	GTI	B	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	68,795	26.26	n/a	n/a	2,751.80	4.0
ROBERTSON STEVENS BC	084	HXL	B	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	B	23,000	21.24	n/a	n/a	920.00	4.0
MFP INVESTORS	085	JNS	B	24,500	5.98	n/a	n/a	980.00	4.0
ARMATURE CAPITAL	041	KBH	S	100,000	6.98	n/a	n/a	4,000.00	4.0
SURVEYOR CAPITAL	251	NAV	B	13,000	36.11	n/a	14-Sep	390.00	3.0
HIGHFIELDS CAP MGMT	030	NBR	B	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	028	NP	B	10,000	20.47	n/a	9-Nov	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	20.51	n/a	9-Nov	400.00	4.0
DEVENNY CAP LLC	044	PAG	B	8,208	19.34	n/a	3-Nov	246.24	3.0
SURVEYOR CAPITAL	251	PCP	B	2,000	152.79	n/a	28-Oct	60.00	3.0
DEVENNY CAP LLC	044	PH	B	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	B	7,000	55.52	n/a	22-Nov	350.00	5.0
BNP PARIBAS SEC	040	PVH	B	40,000	67.97	n/a	2-Dec	2,000.00	5.0
ROBERTSON STEVENS BC	084	RDEN	B	55,570	34.67	n/a	6-Dec	2,222.80	4.0
CATAPULT	040	RKT	B	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	B	2,500	122.10	n/a	n/a	75.00	3.0
MERRILL ASSET/BLACKROCK	297	TEL	B	28,100	30.43	n/a	n/a	1,124.00	4.0
DEVENNY CAP LLC	044	TEN	B	5,900	26.34	n/a	n/a	177.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	TLM	B	10,000	11.42	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	TLT	B	500	120.03	n/a	n/a	25.00	5.0
DEVENNY CAP LLC	044	VC	B	5,000	48.56	n/a	n/a	150.00	3.0
PZENA INV ADV	044	VR	S	13,075	29.70	n/a	n/a	457.63	3.5
SCOPUS FUND	041	WBC	S	35,000	39.68	n/a	5-Dec	1,400.00	4.0
BNP PARIBAS SEC	040	WRC	B	50,000	48.75	n/a	4-Nov	2,500.00	5.0
NEWLAND CAPITAL MGT	025	WTS	B	15,000	34.18	n/a	n/a	600.00	4.0
PERRY PARTNERS	085	YHOO	B	50,000	15.00	n/a	n/a	2,500.00	5.0
TUDOR INVESTORS	028	ZUMZ	B	12,500	28.13	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>81,927.04</b>	

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

Type	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
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-500.00</b>

TOTAL (Trade Date):	81,927.04
TOTAL (AO, CXL, CRT):	-500.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>81,427.04</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