



Daily Compliance Activity Report

Trade Date: 12/05/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC	044	AA	B	12,000	10.06	n/a	n/a	360.00	3.0
ARMATURE CAPITAL	041	AGCO	B	20,000	46.05	n/a	26-Oct	800.00	4.0
SURVEYOR CAPITAL	251	AGCO	B	15,000	45.87	n/a	26-Oct	450.00	3.0
HIGHBRIDGE CAP	041	ANN	SS	11,000	24.53	n/a	n/a	330.00	3.0
NICOLAS APPLGATE	084	APH	S	12,000	46.27	n/a	n/a	240.00	2.0
BALYASNY ASSET MGMT	044	ASNA	SS	20,000	28.51	n/a	n/a	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	ATU	B	50,000	23.06	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	AVP	S	57,400	17.06	n/a	14-Nov	2,296.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	9,500	9.20	n/a	31-Oct	285.00	3.0
OZ MGMT	040	BIG	S	33,432	37.08	n/a	2-Dec	1,002.96	3.0
MILLRACE FUND LP	028	BWA	SS	2,000	68.84	n/a	9-Nov	80.00	4.0
SURVEYOR CAPITAL	251	CAR	SS	10,000	12.35	n/a	n/a	300.00	3.0
DEVENNY CAP LLC	044	CBT	SS	3,846	34.09	n/a	10-Nov	115.38	3.0
DEVENNY CAP LLC	044	CBT	S	49	34.09	n/a	10-Nov	1.47	3.0
KAM ADVISORS LLC	041	CNX	S	68,700	41.04	n/a	n/a	2,061.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CSCO	S	1,000	18.77	n/a	n/a	50.00	5.0
BMO NESBITT BURNS	041	DG	S	4,500	40.10	n/a	5-Dec	135.00	3.0
BNP PARIBAS SEC	040	DG	S	20,000	40.79	n/a	5-Dec	1,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	DG	SS	3,000	40.19	n/a	5-Dec	150.00	5.0
RIDGECREST INV MGMT LLC	028	DLPH	B	5,000	21.58	n/a	n/a	250.00	5.0
CHESAPEAKE PARTNERS	028	DMND	B	20,000	29.08	n/a	n/a	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	DSW	B	110,800	46.94	n/a	11-Feb	4,432.00	4.0
PATTEN & PATTEN	025	EPP	S	400	42.30	n/a	n/a	20.00	5.0
DEVENNY CAP LLC	044	ERJ	B	5,000	25.49	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	EWC	B	1,500	27.49	n/a	n/a	75.00	5.0
HIGHBRIDGE CAP	041	EXPR	SS	12,000	21.59	n/a	n/a	360.00	3.0
CATAPULT	040	EXXI	B	25,000	32.17	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	FRED	B	5,000	13.79	n/a	n/a	150.00	3.0
SCOPUS FUND	041	GIL	B	25,000	18.28	n/a	2-Dec	1,000.00	4.0
SMITH MGMT LLC	029	GRPN	SS	75,000	18.86	n/a	n/a	2,250.00	3.0
CYPRESS CAP MGMT LLC	040	HGG	B	30,200	16.41	n/a	n/a	1,208.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HITT	B	24,100	54.80	n/a	n/a	964.00	4.0
SURVEYOR CAPITAL	251	HTZ	B	15,000	12.07	n/a	n/a	450.00	3.0
BASIX	033	HXL	SS	20,000	24.39	n/a	25-Oct	600.00	3.0
NICOLAS APPLGATE	084	IBM	S	46,850	193.35	n/a	n/a	937.00	2.0
BNP PARIBAS SEC	040	IFF	S	10,000	54.29	n/a	8-Nov	500.00	5.0
ELM RIDGE ADVISORS	044	IP	S	135,201	29.14	n/a	27-Oct	5,408.04	4.0
11:11 CAPITAL CORP	046	IWM	B	45,000	74.69	n/a	n/a	1,350.00	3.0
CAISSE DEPOT PLACEMENT Q	295	JBHT	S	50,000	46.12	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	JCI	B	1,100	32.48	n/a	21-Nov	55.00	5.0
11:11 CAPITAL CORP	046	JNJ	B	15,000	63.50	n/a	n/a	600.00	4.0
ROSEDALE CAPITAL	046	KEG	S	15,000	14.89	n/a	2-Nov	600.00	4.0
PERSHING SQUARE	029	KFT	S	221,687	36.63	n/a	n/a	8,867.48	4.0
PATTEN & PATTEN	025	KRE	S	5,000	24.03	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	50.64	n/a	2-Dec	1,500.00	3.0
BNP PARIBAS SEC	040	LMT	SS	20,000	77.91	n/a	5-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	LULU	SS	2,000	48.38	n/a	2-Dec	80.00	4.0
DEVENNY CAP LLC	044	MMM	B	5,000	81.29	n/a	8-Nov	150.00	3.0
OHIO PERS	047	MON	S	14,300	71.06	n/a	15-Nov	429.00	3.0
HOPLITE MGMT	025	MS	B	200,000	16.32	n/a	5-Dec	8,000.00	4.0
LISTED ERR	099	MS	B	705	16.50	n/a	5-Dec	0.00	0.0
LISTED ERR	099	MS	S	705	16.54	n/a	5-Dec	0.00	0.0
FORWARD MGMT	033	NP	B	10,378	19.14	n/a	9-Nov	415.12	4.0
MERRILL ASSET/BLACKROCK	297	PDC	S	7,500	11.79	n/a	n/a	300.00	4.0
LONG POND	029	PHM	S	42,000	6.41	n/a	n/a	1,260.00	3.0
PATTEN & PATTEN	025	PHO	S	14,000	17.10	n/a	n/a	700.00	5.0
BMO NESBITT BURNS	041	PLCE	B	2,000	54.46	n/a	22-Nov	80.00	4.0
BALLAST CAP	040	PLD	B	11,500	28.63	n/a	n/a	575.00	5.0
MERRILL ASSET/BLACKROCK	297	PVH	B	24,500	74.97	n/a	2-Dec	980.00	4.0
DELTEC ASSET MGMT.	040	RIG	B	5,000	44.47	n/a	n/a	250.00	5.0
COLUMBUS CIRCLE	036	SFSF	S	16,600	39.70	n/a	n/a	664.00	4.0
LONG POND	029	SHO	S	20,000	7.87	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	SVU	B	10,000	7.41	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	TEVA	B	1,000	39.89	n/a	2-Dec	50.00	5.0
LONG POND	029	TOL	SS	90,000	20.81	n/a	n/a	4,500.00	5.0
LONG POND	029	TPX	SS	16,000	55.25	n/a	n/a	800.00	5.0
DEVENNY CAP LLC	044	TRW	S	5,000	34.51	n/a	n/a	150.00	3.0
LANE GATE PARTNERS LLC	030	T	S	5,000	29.04	n/a	n/a	150.00	3.0
HUNTER GLOBAL INVESTOR	028	UA	B	25,000	83.46	n/a	26-Oct	1,250.00	5.0
ARMATURE CAPITAL	041	UNP	B	15,000	105.01	n/a	n/a	600.00	4.0
LANE GATE PARTNERS LLC	030	VZ	B	4,000	38.04	n/a	n/a	120.00	3.0
DEVENNY CAP LLC	044	WCC	B	10,000	52.81	n/a	n/a	300.00	3.0
HIGHBRIDGE CAP	041	WSM	S	14,000	39.22	n/a	n/a	420.00	3.0
MATRIX ASSET ADV.	091	WU	S	3,000	17.90	n/a	n/a	90.00	3.0
LONG POND	029	WY	B	105,000	17.07	n/a	28-Oct	5,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	XLF	B	20,000	13.08	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

78,696.45

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/02	EGS ASSOCIATES LP (EGASBANC O)	091	BIG	B	5,000	36.16	n/a	2-Dec	250.00	5.0
AO,CRT	12/02	EGS ASSOCIATES LP (EGASBANC O)	091	BIG	B	5,000	36.16	n/a	2-Dec	300.00	6.0
AO,CXL	11/30	HAHN CAPITAL MANAGEMENT (HAHN LAKSHO)	084	GTLS	S	2,329	59.94	n/a	n/a	116.45	5.0
AO,CRT	11/30	HAHN CAPITAL MANAGEMENT (HAHN LAKSHO)	084	GTLS	S	2,329	59.94	n/a	n/a	116.45	5.0
CRT	12/05	LONG POND (LONPGS)	029	TOL	SS	90,000	20.81	n/a	n/a	4500.00	5.0
AO,CXL	11/30	THREE G (THEGMSPB)	034	TRW	SS	81,600	32.46	n/a	n/a	2448.00	3.0
AO,CRT	11/30	THREE G (THEGMSPB)	034	TRW	SS	81,600	32.46	n/a	n/a	2448.00	3.0
TOTAL (AO, CXL, CRT) :										4,550.00	
TOTAL (Trade Date) :										78,696.45	
TOTAL (AO, CXL, CRT) :										4,550.00	
TOTAL (RUN DATE) / NFS :										83,246.45	

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