



Daily Compliance Activity Report

Trade Date: 10/14/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	AFG	S	13,300	32.69	n/a	n/a	532.00	4.0
OHIO PERS	047	AKAM	B	63,000	24.11	n/a	n/a	1,890.00	3.0
CASTLE ARK	031	APC	B	111,040	69.76	n/a	12-Oct	5,552.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ARG	B	46,600	68.72	n/a	20-Sep	1,864.00	4.0
SMITH MGMT LLC	029	AXL	S	139,715	9.05	n/a	1-Aug	4,191.45	3.0
MERRILL ASSET/BLACKROCK	297	COG	S	16,420	65.36	n/a	12-Oct	656.80	4.0
HAMILTON CAP PART FIN	031	C	B	10,000	28.05	n/a	7-Oct	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		DPZ	B	5,000	28.43	n/a	14-Oct	250.00	5.0
OHIO PERS	047	EBAY	B	70,000	33.50	n/a	n/a	2,100.00	3.0
HAMILTON CAP PART FIN	031	FHN	B	50,000	6.55	n/a	n/a	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FINL	B	5,000	21.20	n/a	23-Sep	0.00	0.0
ROYCE TRADING	031	FINL	B	2,000	21.01	n/a	23-Sep	100.00	5.0
BRONSON POINT	036	GE	B	100,000	16.54	n/a	n/a	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	S	30,000	23.56	n/a	4-Oct	900.00	3.0
OZ MGMT	040	GM	C	30,000	23.90	n/a	4-Oct	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	HBI	B	25,000	26.36	n/a	21-Jul	750.00	3.0
MERRILL ASSET/BLACKROCK	297	HFC	S	54,800	34.67	n/a	n/a	2,192.00	4.0
CAMBIAR CAP	046	HSP	B	92,170	37.97	n/a	13-Oct	3,686.80	4.0
MILLENNIUM-ANDEW	031	HYG	B	58,000	86.18	n/a	n/a	2,900.00	5.0
NEW JERSEY DIV OF INV.	030	IJR	S	67,000	64.66	n/a	n/a	2,680.00	4.0
OHIO PERS	047	JNPR	B	44,000	21.11	n/a	n/a	1,320.00	3.0
CAERUS GLOBAL	041	JNY	B	37,400	10.67	n/a	28-Jul	1,496.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,000	10.49	n/a	28-Jul	120.00	4.0
LEVIN CAPITAL STRATEGIES	041	LEA	B	10,000	48.37	n/a	5-Aug	300.00	3.0
CATAPULT	040	LINE	S	25,000	37.47	n/a	n/a	1,000.00	4.0
OZ MGMT	040	MGA	SS	50,000	37.22	n/a	n/a	1,500.00	3.0
SONTERRA CAP	041	NOC	SS	70,000	54.41	n/a	26-Sep	2,800.00	4.0
CHALSON/MILLENIUM	041	PG	SS	20,000	64.49	n/a	10-Oct	800.00	4.0
ROYCE TRADING	031	PLCE	B	800	46.71	n/a	18-Aug	40.00	5.0
NEUBERGER BERMAN	036	PLD	S	100,000	25.56	n/a	n/a	4,000.00	4.0
BRIGADE CAPITAL MGMT	029	RAD	B	250,000	1.04	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC	044	SEE	B	5,000	17.47	n/a	2-Jun	150.00	3.0
MERRILL ASSET/BLACKROCK	297	TRH	B	7,700	51.28	n/a	n/a	308.00	4.0
SONTERRA CAP	041	UPL	SS	7,500	28.95	n/a	12-Oct	300.00	4.0
CAERUS GLOBAL	041	URBN	B	25,163	23.80	n/a	n/a	1,006.52	4.0
LEVIN CAPITAL STRATEGIES	041	URBN	SS	50,000	23.58	n/a	n/a	1,500.00	3.0
SIMMONS VENTURES	041	URBN	SS	5,000	24.03	n/a	n/a	200.00	4.0
BASIX	033	XME	SS	18,000	51.28	n/a	n/a	540.00	3.0
CHALSON/MILLENIUM	041	YUM	B	25,000	52.07	n/a	5-Oct	1,000.00	4.0
TOTAL (Trade Date) :								61,925.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/13	NEW JERSEY DIV OF INV. (NEWJ5162)	030	ALK	S	25,000	63.76	n/a	n/a	1000.00 4.0
AO,CRT	10/13	NEW JERSEY DIV OF INV. (NEWJ5140)	030	ALK	S	25,000	63.76	n/a	n/a	1000.00 4.0
AO,	10/13	ROYCE TRADING (ROYC56)	031	UNT	B	7,300	42.05	n/a	12-Oct	365.00 5.0
AO,	10/13	ROYCE TRADING (ROYC6)	031	UNT	B	9,400	42.05	n/a	12-Oct	470.00 5.0
AO,	10/13	ROYCE TRADING (ROYC87)	031	UNT	B	8,300	42.05	n/a	12-Oct	415.00 5.0

TOTAL (AO, CXL, CRT) :	1,250.00
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TOTAL (Trade Date) :	61,925.57
TOTAL (AO, CXL, CRT) :	1,250.00

TOTAL (RUN DATE) / NFS:	63,175.57
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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