

## **Daily Compliance Activity Report** Trade Date: 10/24/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

					101		MAZILIGI	Heibt vic	LITTONS:
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LATEFF MGMT	035	ALL	S	500	27.03	n/a	n/a	50.00	10.0
BARON ASSET MGMT*	085	ARCO	В	75 <b>,</b> 000	22.35	n/a	17-0ct	3,000.00	4.0
TRUSTCO/SUNTRUST	040	ARCO	В	18 <b>,</b> 782	22.51	n/a	17-0ct	657.38	3.5
ASCEND PARTNERS	033	BIG	S	50,000	38.18	n/a	25-Aug	1,500.00	3.0
FIRST NY SEC/CHRIS	041	BYD	В	20,000	6.48	n/a	n/a	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	В	S	176 <b>,</b> 550	22.53	n/a	n/a	7,062.00	4.0
MILLENNIUM-ANDEW	031	CAT	S	10,000	91.50	n/a	14-Sep	600.00	6.0
OSKIE CAPITAL MGMT	224	COG	В	10,000	70.62	n/a	24-Oct	500.00	5.0
KLEINHEINZ CAP PART	031	COST	В	20,000	84.88	n/a	n/a	1,000.00	5.0
MERCHANTS GATE CAP LP	036	COST	С	24,000	84.79	n/a	n/a	960.00	4.0
ACK ASSET	028	DAN	В	171,500	14.27	n/a	19-0ct	5,145.00	3.0
ROTHSCHILD ASSET	040	DPL	S	6,082	30.23	n/a	n/a	243.28	4.0
MERRILL ASSET/BLACKROCK	297	EQT	S	13,000	67.78	n/a	n/a	520.00	4.0
MILLENNIUM-ANDEW	031	ETN	S	25,000	44.04	n/a	24-Oct	1,500.00	6.0
LATEFF MGMT	035	FDX	S	250	81.40	n/a	n/a	62.50	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
OZ MGMT	040	F	В	100,000	12.41	n/a	19-Oct	3,000.00	3.0
SANDLER CAPITAL	028	GES	С	240,000	33.16	n/a	21-Oct	12,000.00	5.0
AVESTA CAP	229	GE	S	500,000	16.42	n/a	n/a	15,000.00	3.0
BASIX	033	GPI	SS	10,500	44.26	n/a	19-Oct	315.00	3.0
IRIDIAN ASSET MGMT.	036	GWW	С	15 <b>,</b> 200	171.46	n/a	18-Oct	456.00	3.0
TUDOR INVESTORS TUDOR INVESTORS	028 028	HBI HBI	SS S	45,000 25,000	27.00 26.84	n/a n/a	21-Oct 21-Oct	1,350.00 750.00	3.0 3.0
RBC CAPITAL MARKETS	040	HD	S	10,000	37.01	n/a	16-Aug	400.00	4.0
BNP PARIBAS SEC	040	JCP	SS	50,000	33.91	n/a	13-Oct	2,500.00	5.0
THE JAY GOLDMAN THIRD POINT MGMT	028	JCP JCP	S C	20,000	34.30 33.99	n/a n/a	13-Oct 13-Oct	800.00	4.0
BASIX	033	JNY	S	46,000	12.26	n/a	28-Jul	1,380.00	3.0
BNP PARIBAS SEC	040	JOSB	SS	5,000	52.62	n/a	n/a	250.00	5.0
LATEFF MGMT	035	JPM	S	500	34.30	n/a	13-0ct	50.00	10.0
MATRIX ASSET ADV.	091	JPM	S	7,300	34.33	n/a	13-0ct	292.00	4.0
HIGHBRIDGE CAP	041	KSS	S	5,000	55.00	n/a	7-0ct	150.00	3.0
THE JAY GOLDMAN	028	KSS	В	20,000	55.18	n/a	7-Oct	800.00	4.0
THE JAY GOLDMAN	028	KSS	SS	10,000	55.00	n/a	7-0ct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price		MRI	Research	Comm.	¢/Shr.	
HIGHBRIDGE CAP	041	LOW	В	23,000	22.38		n/a	17-Oct	690.00	3.0	
CADIAN CAPITAL	041	LULU	В	79,000	53.18		n/a	12-Sep	2,370.00	3.0	
NUVEEN - US BANCORP		030	LZB	В	21,713	9.48		n/a	n/a	977.09	4.5
CATAPULT	040	MPC	S	25,000	37.31		n/a	n/a	1,000.00	4.0	
CAMBIAR CAP	046	NAV	S	21,810	42.81		n/a	14-Sep	872.40	4.0	
BLUEMAR CAPITAL MANAGEMEN	IT029	NTRS	SS	10,300	40.53		n/a	19-0ct	309.00	3.0	
PAW PARTNERS	025	N	В	15,000	37.32		n/a	n/a	750.00	5.0	
MERRILL ASSET/BLACKROCK	297	OAS	S	14,200	32.79		n/a	n/a	568.00	4.0	
LATEFF MGMT	035	OI	В	150	19.66		n/a	n/a	30.00	20.0	
LATEFF MGMT	035	OI	S	1,500	19.65		n/a	n/a	150.00	10.0	
FARBER/WEISS PECK	085	PCH	S	25 <b>,</b> 000	34.28		n/a	24-Oct	1,000.00	4.0	
HIGHBRIDGE CAP	041	PETM	S	10,535	47.41		n/a	n/a	316.05	3.0	
ROYCE TRADING	031	PLCE	В	2,000	45.43		n/a	18-Aug	100.00	5.0	
MERRILL ASSET/BLACKROCK	297	PRA	S	5,400	77.52		n/a	n/a	216.00	4.0	
EGS ASSOCIATES LP	091	PVH	SS	800	73.43		n/a	21-0ct	40.00	5.0	
MERRILL ASSET/BLACKROCK	297	RGA	S	6 <b>,</b> 700	54.05		n/a	n/a	268.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price		MRI	Research	Comm.	¢/Shr.	
DSG CAPITAL	030	RRR	В	30,000	9.59		n/a	21-Oct	900.00	3.0	
SENATOR INVESTMENT GROUP	036	SEE	S	2,700	17.60		n/a	2-Jun	81.00	3.0	
ROARING BLUE LION MGMT	031	SSI	S	9,900	16.37		n/a	n/a	396.00	4.0	
HIGHBRIDGE CAP	041	SWY	SS	28,000	19.00		n/a	n/a	840.00	3.0	
NUVEEN - US BANCORP		030 I	EN	S	8,092	35.50		n/a	n/a	364.14	4.5
MERRILL ASSET/BLACKROCK	297	TESO	S	24,439	14.70		n/a	n/a	977.56	4.0	
LATEFF MGMT	035	TEVA	В	75	39.19		n/a	24-Oct	24.00	32.0	
HIGHBRIDGE CAP	041	TGT	S	37,000	54.90		n/a	6-0ct	1,110.00	3.0	
PAW PARTNERS	025	THI	В	12,000	50.50		n/a	n/a	600.00	5.0	
HIGHBRIDGE CAP	041	TIF	В	3,345	74.73		n/a	n/a	100.35	3.0	
LATEFF MGMT	035	TRV	S	100	57.74		n/a	n/a	30.00	30.0	
NEWLAND CAPITAL MGT	025	TSO	SS	80,000	25.86		n/a	n/a	3,200.00	4.0	
TRUSTCO/SUNTRUST	040	Т	В	59,362	28.96		n/a	n/a	2,077.69	3.5	
TALPION LLC	040	VFC	SS	5,000	138.50		n/a	21-Oct	200.00	4.0	
VISIUM/BALY BOBBY	044	VLO	S	20,000	23.80		n/a	n/a	1,000.00	5.0	
	DSG CAPITAL  SENATOR INVESTMENT GROUP  ROARING BLUE LION MGMT  HIGHBRIDGE CAP  NUVEEN - US BANCORP  MERRILL ASSET/BLACKROCK  LATEFF MGMT  HIGHBRIDGE CAP  PAW PARTNERS  HIGHBRIDGE CAP  LATEFF MGMT  NEWLAND CAPITAL MGT  TRUSTCO/SUNTRUST  TALPION LLC	DSG CAPITAL 030  SENATOR INVESTMENT GROUP 036  ROARING BLUE LION MGMT 031  HIGHBRIDGE CAP 041  NUVEEN - US BANCORP  MERRILL ASSET/BLACKROCK 297  LATEFF MGMT 035  HIGHBRIDGE CAP 041  PAW PARTNERS 025  HIGHBRIDGE CAP 041  LATEFF MGMT 035  NEWLAND CAPITAL MGT 025  TRUSTCO/SUNTRUST 040  TALPION LLC 040	DSG CAPITAL 030 RRR  SENATOR INVESTMENT GROUP 036 SEE  ROARING BLUE LION MGMT 031 SSI  HIGHBRIDGE CAP 041 SWY  NUVEEN - US BANCORP 030 T  MERRILL ASSET/BLACKROCK 297 TESO  LATEFF MGMT 035 TEVA  HIGHBRIDGE CAP 041 TGT  PAW PARTNERS 025 THI  HIGHBRIDGE CAP 041 TIF  LATEFF MGMT 035 TRV  NEWLAND CAPITAL MGT 025 TSO  TRUSTCO/SUNTRUST 040 T  TALPION LLC 040 VFC	DSG CAPITAL  DSG CAPITAL  SENATOR INVESTMENT GROUP  O36  SEE  S  ROARING BLUE LION MGMT  O31  SSI  S  HIGHBRIDGE CAP  O41  SWY  SS  NUVEEN - US BANCORP  MERRILL ASSET/BLACKROCK  297  TESO  S  LATEFF MGMT  O35  TEVA  B  HIGHBRIDGE CAP  O41  TGT  S  PAW PARTNERS  O25  THI  B  LATEFF MGMT  O35  TRV  S  NEWLAND CAPITAL MGT  O25  TRUSTCO/SUNTRUST  O40  VFC  SS	DSG CAPITAL         030         RRR         B         30,000           SENATOR INVESTMENT GROUP         036         SEE         S         2,700           ROARING BLUE LION MGMT         031         SSI         S         9,900           HIGHBRIDGE CAP         041         SWY         SS         28,000           NUVEEN - US BANCORP         030         TEN         S           MERRILL ASSET/BLACKROCK         297         TESO         S         24,439           LATEFF MGMT         035         TEVA         B         75           HIGHBRIDGE CAP         041         TGT         S         37,000           PAW PARTNERS         025         THI         B         12,000           HIGHBRIDGE CAP         041         TIF         B         3,345           LATEFF MGMT         035         TRV         S         100           NEWLAND CAPITAL MGT         025         TSO         SS         80,000           TRUSTCO/SUNTRUST         040         T         B         59,362           TALPION LLC         040         VFC         SS         5,000	DSG CAPITAL 030 RRR B 30,000 9.59  SENATOR INVESTMENT GROUP 036 SEE S 2,700 17.60  ROARING BLUE LION MGMT 031 SSI S 9,900 16.37  HIGHBRIDGE CAP 041 SWY SS 28,000 19.00  NUVEEN - US BANCORP 030 TEN S 8,092  MERRILL ASSET/BLACKROCK 297 TESO S 24,439 14.70  LATEFF MGMT 035 TEVA B 75 39.19  HIGHBRIDGE CAP 041 TGT S 37,000 54.90  PAW PARTNERS 025 THI B 12,000 50.50  HIGHBRIDGE CAP 041 TIF B 3,345 74.73  LATEFF MGMT 035 TRV S 100 57.74  NEWLAND CAPITAL MGT 025 TSO SS 80,000 25.86  TRUSTCO/SUNTRUST 040 T B 59,362 28.96  TALPION LLC 040 VFC SS 5,000 138.50	DSG CAPITAL 030 RRR B 30,000 9.59  SENATOR INVESTMENT GROUP 036 SEE S 2,700 17.60  ROARING BLUE LION MGMT 031 SSI S 9,900 16.37  HIGHBRIDGE CAP 041 SWY SS 28,000 19.00  NUVEEN - US BANCORP 030 TEN S 8,092 35.50  MERRILL ASSET/BLACKROCK 297 TESO S 24,439 14.70  LATEFF MGMT 035 TEVA B 75 39.19  HIGHBRIDGE CAP 041 TGT S 37,000 54.90  PAW PARTNERS 025 THI B 12,000 50.50  HIGHBRIDGE CAP 041 TIF B 3,345 74.73  LATEFF MGMT 035 TRV S 100 57.74  NEWLAND CAPITAL MGT 025 TSO SS 80,000 25.86  TRUSTCO/SUNTRUST 040 T B 59,362 28.96  TALPION LLC 040 VFC SS 5,000 138.50	DSG CAPITAL 030 RRR B 30,000 9.59 n/a  SENATOR INVESTMENT GROUP 036 SEE S 2,700 17.60 n/a  ROARING BLUE LION MGMT 031 SSI S 9,900 16.37 n/a  HIGHBRIDGE CAP 041 SWY SS 28,000 19.00 n/a  NUVEEN - US BANCORP 030 TEN S 8,092 35.50  MERRILL ASSET/BLACKROCK 297 TESO S 24,439 14.70 n/a  LATEFF MGMT 035 TEVA B 75 39.19 n/a  HIGHBRIDGE CAP 041 TGT S 37,000 54.90 n/a  PAW PARTNERS 025 THI B 12,000 50.50 n/a  HIGHBRIDGE CAP 041 TIF B 3,345 74.73 n/a  LATEFF MGMT 035 TRV S 100 57.74 n/a  NEWLAND CAPITAL MGT 025 TSO SS 80,000 25.86 n/a  TRUSTCO/SUNTRUST 040 T B 59,362 28.96 n/a  TALPION LLC 040 VFC SS 5,000 138.50 n/a	DSG CAPITAL 030 RRR B 30,000 9.59 n/a 21-Oct  SENATOR INVESTMENT GROUP 036 SEE S 2,700 17.60 n/a 2-Jun  ROARING BLUE LION MGMT 031 SSI S 9,900 16.37 n/a n/a  HIGHBRIDGE CAP 041 SWY SS 28,000 19.00 n/a n/a  NUVEEN - US BANCORP 030 TEN S 8,092 35.50 n/a  MERRILL ASSET/BLACKROCK 297 TESO S 24,439 14.70 n/a n/a  LATEFF MGMT 035 TEVA B 75 39.19 n/a 24-Oct  HIGHBRIDGE CAP 041 TGT S 37,000 54.90 n/a 6-Oct  PAW PARTNERS 025 THI B 12,000 50.50 n/a n/a  HIGHBRIDGE CAP 041 TIF B 3,345 74.73 n/a n/a  LATEFF MGMT 035 TRV S 100 57.74 n/a n/a  NEWLAND CAPITAL MGT 025 TSO SS 80,000 25.86 n/a n/a  TRUSTCO/SUNTRUST 040 T B 59,362 28.96 n/a n/a  TALPION LLC 040 VFC SS 5,000 138.50 n/a 21-Oct	DSG CAPITAL 030 RRR B 30,000 9.59 n/a 21-Oct 900.00  SENATOR INVESTMENT CROUP 036 SEE S 2,700 17.60 n/a 2-Jun 81.00  ROARING BLUE LION MGMT 031 SSI S 9,900 16.37 n/a n/a 396.00  HIGHBRIDGE CAP 041 SWY SS 28,000 19.00 n/a n/a n/a 840.00  NUVEEN - US BANCORP 030 TEN S 8,092 35.50 n/a n/a n/a 977.56  LATEFF MGMT 035 TEVA B 75 39.19 n/a 24-Oct 24.00  HIGHBRIDGE CAP 041 TGT S 37,000 50.50 n/a n/a 6-Oct 1,110.00  PAW PARTNERS 025 THI B 12,000 50.50 n/a n/a 600.00  HIGHBRIDGE CAP 041 TIF B 3,345 74.73 n/a n/a 100.35  LATEFF MGMT 035 TRV S 100 57.74 n/a n/a 3.00.00  NEWLAND CAPITAL MGT 035 TSO SS 80,000 25.86 n/a n/a 3,200.00  TRUSTCO/SUNTRUST 040 T B 59,362 28.96 n/a n/a 21-Oct 20.00	DSG CAPITAL 030 RRR B 30,000 9.59 n/a 21-oct 900.00 3.0 SENATOR INVESTMENT GROUP 036 SER S 2,700 17.60 n/a 2-Jun 81.00 3.0 ROARING BLUE LION MGMT 031 SSI S 9,900 16.37 n/a n/a 396.00 4.0 HIGHBRIDGE CAP 041 SWY SS 28,000 19.00 n/a n/a 840.00 3.0 NUVEEN - US BANCORP

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
LIONEYE CAPITAL	040	WMB	S	10,000	30.35	n/a	n/a	500.00 5.0
BUCK CAPITAL MGMT FIRST NY SEC/CHRIS	<b>001</b>	WRC WRC	<b>B</b> SS	<b>25,000</b> 10,000	<b>48.99</b> 48.73	<b>n/a</b> n/a	<b>21-Oct</b> 21-Oct	<b>750.00 3.0</b> 400.00 4.0
VISIUM/BALY BOBBY	044	XLI	SS	10,000	33.02	n/a	n/a	500.00 5.0

TOTAL (Trade Date): 89,000.44

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	10/21	FORTRESS INVESTMENT (US) (FORTMS)	036	CFR	В	31,500	48.31	n/a	n/a	1260.00	4.0
AO,CXL	10/21	FORTRESS INVESTMENT (US) (FORTGS)	036	CFR	В	31,500	48.31	n/a	n/a	1260.00	4.0
AO,CXL	10/21	ACK ASSET (ACKAMS)	028	DAN	В	42 <b>,</b> 939	13.52	n/a	19-0ct	1288.17	3.0
AO, CRT	10/21	ACK ASSET (ACKAMS)	028	DAN	В	42,039	13.52	n/a	19-0ct	1261.17	3.0
AO,CXL	10/21	ACK ASSET (ACKABEARPB)	028	DAN	В	57,061	13.52	n/a	19-0ct	1711.83	3.0
AO,CRT	10/21	ACK ASSET (ACKABEARPB)	028	DAN	В	57 <b>,</b> 961	13.52	n/a	19-0ct	1738.83	3.0
CRT	10/24	BASIX (BASIUBS)	033	JNY	S	27,400	12.26	n/a	28-Jul	822.00	3.0
CRT	10/24	BASIX (BASIBARC)	033	JNY	S	18,600	12.26	n/a	28-Jul	558.00	3.0
AO,CXL	10/21	NEW JERSEY DIV OF INV. (NEWJ5140)	030	RTN	В	55 <b>,</b> 000	43.67	n/a	17-Oct	2200.00	4.0
AO, CRT	10/21	NEW JERSEY DIV OF INV. (NEWJ5140)	030	RTN	В	55,000	43.67	n/a	17-Oct	2200.00	4.0
AO,	10/21	MERRILL ASSET/BLACKROCK (MERR22)	297	TESO	S	2,700	14.51	n/a	n/a	108.00	4.0
AO,	10/21	MERRILL ASSET/BLACKROCK (MERR700)	297	TESO	S	11,588	14.51	n/a	n/a	463.52	4.0
TOTAL	(AO, (	CXL, CRT):							1,	951.52	

TOTAL (RUN DATE) / NFS:	90,951.96
TOTAL (AO, CXL, CRT):	1,951.52
TOTAL (Trade Date):	89,000.44

## Legend:

O: 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