

## **Daily Compliance Activity Report** Trade Date: 10/28/2011

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

						TEIBE VIOLITIONS V			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MELLON/BANK OF NEW YORK	046	ACN	В	16,830	61.33	n/a	n/a	673.20	4.0
UBS OCONNOR	031	ADP	SS	75 <b>,</b> 000	52.50	n/a	n/a	2,250.00	3.0
PENNANT CAP MGMT	029	AMGN	S	54 <b>,</b> 973	57.72	n/a	n/a	1,649.19	3.0
KLEINHEINZ CAP PART	031	AN	S	75 <b>,</b> 000	39.35	n/a	21-0ct	3,750.00	5.0
OHIO PERS	047	ARBA	В	170,600	32.26	n/a	n/a	5,118.00	3.0
TALPION LLC	040	ARCO	В	10,000	23.03	n/a	28-Oct	400.00	4.0
THE JAY GOLDMAN	028	ARO	В	15,000	14.32	n/a	19-Aug	600.00	4.0
BALYASNY ASSET MGMT	044	ASNA	SS	25,000	30.47	n/a	n/a	1,250.00	5.0
OZ MGMT	040	AXL	С	249,467	9.71	n/a	19-Oct	7,484.01	3.0
PENNANT CAP MGMT	029	BRCM	S	48,186	36.83	n/a	n/a	1,445.58	3.0
DEVENNY CAP LLC	044	BWA	SS	5 <b>,</b> 272	76.53	n/a	19-0ct	158.16	3.0
OZ MGMT	040	BWA	SS	80,000	76.42	n/a	19-Oct	2,400.00	3.0
MELLON/BANK OF NEW YORK	046	САН	S	362,005	45.66	n/a	n/a	14,480.20	4.0
THIRD COAST CAPITAL	035	CROX	В	15,000	16.95	n/a	n/a	750.00	5.0
MACQUARIE INVESTMENT MGMT	C. 040	DPS	SS	3,170	37.47	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
SURVEYOR CAPITAL	041	ERTS	S	87 <b>,</b> 588	24.04	n/a	n/a	2,627.64	3.0
SURVEYOR CAPITAL	041	EXPE	S	76 <b>,</b> 038	27.20	n/a	n/a	2,281.14	3.0
FARALLON CAP MGMT	040	FCX	В	22,500	43.41	n/a	n/a	900.00	4.0
IMPALA ASSET MMT	040	F	S	240,000	12.00	n/a	27-0ct	7,200.00	3.0
OZ MGMT	040	F	С	100,000	12.00	n/a	27-Oct	3,000.00	3.0
OZ MGMT	040	F	SS	200,000	11.92	n/a	27-Oct	6,000.00	3.0
BNP PARIBAS SEC	040	GMCR	В	10,000	69.15	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	HLF	В	20,000	61.49	n/a	n/a	1,000.00	5.0
IMPALA ASSET MMT	040	HOG	S	40,000	39.69	n/a	n/a	1,600.00	4.0
CAMBIAR CAP	046	HSP	В	9,635	31.05	n/a	27-Oct	385.40	4.0
SCOPUS FUND	041	IP	В	15,000	28.65	n/a	27-Oct	600.00	4.0
COLUMBUS CAP MGMT LLC	084	KITD	SS	11,000	9.60	n/a	n/a	440.00	4.0
BNP PARIBAS SEC	040	KSS	В	50,000	53.02	n/a	28-Oct	2,500.00	5.0
BNP PARIBAS SEC	040	KSS	SS	50,000	54.19	n/a	28-Oct	2,500.00	5.0
OZ MGMT	040	LEA	В	100,000	46.01	n/a	5-Aug	3,000.00	3.0
IMPALA ASSET MMT	040	LVS	В	100,000	48.51	n/a	13-Jun	5,000.00	5.0
KACELA CAPITAL	034	MAR	SS	25,000	32.97	n/a	13-Jun	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
UBS OCONNOR	031	MCO	SS	75 <b>,</b> 000	36.39	n/a	n/a	2,250.00	3.0
OZ MGMT	040	MGA	SS	80,000	39.64	n/a	n/a	2,400.00	3.0
CRAMER ROSENTHAL/SCOTT	070	MWW	В	218,350	9.35	n/a	n/a	8,734.00	4.0
FIRST NY SEC/CHRIS	041	М	SS	10,000	31.05	n/a	28-Oct	500.00	5.0
HUNTER GLOBAL INVESTOR	028	OSK	В	37,821	21.89	n/a	n/a	1,891.05	5.0
IMPALA ASSET MMT	040	OXY	В	25,000	97.79	n/a	n/a	1,250.00	5.0
RWC PARTNERS LTD	085	OXY	В	10,405	97.78	n/a	n/a	312.15	3.0
COOPER CREEK PART	028	PAG	В	15,000	20.99	n/a	19-Oct	600.00	4.0
BUCK CAPITAL MGMT	001	PVH	В	30,000	73.76	n/a	21-0ct	900.00	3.0
COLUMBUS CIRCLE	036	REXX	В	1,797	15.92	n/a	n/a	71.88	4.0
MUHLENKAMP FUND	046	REXX	В	71,783	15.83	n/a	n/a	3,589.15	5.0
COOPER CREEK PART	028	RKT	В	10,000	60.38	n/a	17-Oct	400.00	4.0
NEUBERGER BERMAN	036	RLJ	В	600	14.90	n/a	n/a	24.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ROST	S	9,000	88.25	n/a	28-Oct	360.00	4.0
SUN AMERICA ASSET MGMT	030	SCSS	S	41,600	20.43	n/a	n/a	1,664.00	4.0
LIONEYE CAPITAL	040	SHOR	S	10,000	5.75	n/a	n/a	500.00	5.0
	UBS OCONNOR  OZ MGMT  CRAMER ROSENTHAL/SCOTT  FIRST NY SEC/CHRIS  HUNTER GLOBAL INVESTOR  IMPALA ASSET MMT RWC PARTNERS LTD  COOPER CREEK PART  BUCK CAPITAL MGMT  COLUMBUS CIRCLE MUHLENKAMP FUND  COOPER CREEK PART  NEUBERGER BERMAN  THOMPSON SIEGAL&WALMSLEY  SUN AMERICA ASSET MGMT	UBS OCONNOR 031  OZ MGMT 040  CRAMER ROSENTHAL/SCOTT 070  FIRST NY SEC/CHRIS 041  HUNTER GLOBAL INVESTOR 028  IMPALA ASSET MMT 040 RWC PARTNERS LTD 085  COOPER CREEK PART 028  BUCK CAPITAL MGMT 001  COLUMBUS CIRCLE 036 MUHLENKAMP FUND 046  COOPER CREEK PART 028  NEUBERGER BERMAN 036  THOMPSON SIEGAL&WALMSLEY 029  SUN AMERICA ASSET MGMT 030	UBS OCONNOR 031 MCO  OZ MGMT 040 MGA  CRAMER ROSENTHAL/SCOTT 070 MWW  FIRST NY SEC/CHRIS 041 M  HUNTER GLOBAL INVESTOR 028 OSK  IMPALA ASSET MMT 040 OXY RWC PARTNERS LTD 085 OXY  COOPER CREEK PART 028 PAG  BUCK CAPITAL MGMT 001 PVH  COLUMBUS CIRCLE 036 REXX MUHLENKAMP FUND 046 REXX  COOPER CREEK PART 028 RKT  NEUBERGER BERMAN 036 RLJ  THOMPSON SIEGAL&WALMSLEY 029 ROST  SUN AMERICA ASSET MGMT 030 SCSS	UBS OCONNOR 031 MCO SS  OZ MGMT 040 MGA SS  CRAMER ROSENTHAL/SCOTT 070 MWW B  FIRST NY SEC/CHRIS 041 M SS  HUNTER GLOBAL INVESTOR 028 OSK B  IMPALA ASSET MMT 040 OXY B RWC PARTNERS LTD 085 OXY B  COOPER CREEK PART 028 PAG B  BUCK CAPITAL MGMT 001 PVH B  COLUMBUS CIRCLE 036 REXX B MUHLENKAMP FUND 046 REXX B  COOPER CREEK PART 028 RKT B  NEUBERGER BERMAN 036 RLJ B  THOMPSON SIEGAL&WALMSLEY 029 ROST S  SUN AMERICA ASSET MGMT 030 SCSS S	UBS OCONNOR 031 MCO SS 75,000  OZ MGMT 040 MGA SS 80,000  CRAMER ROSENTHAL/SCOTT 070 MWW B 218,350  FIRST NY SEC/CHRIS 041 M SS 10,000  HUNTER GLOBAL INVESTOR 028 OSK B 37,821  IMPALA ASSET MMT 040 OXY B 25,000  RWC PARTNERS LTD 085 OXY B 10,405  COOPER CREEK PART 028 PAG B 15,000  BUCK CAPITAL MGMT 001 PVH B 30,000  COLUMBUS CIRCLE 036 REXX B 1,797  MUHLENKAMP FUND 046 REXX B 71,783  COOPER CREEK PART 028 RKT B 10,000  NEUBERGER BERMAN 036 RLJ B 600  THOMPSON SIEGAL&WALMSLEY 029 ROST S 9,000  SUN AMERICA ASSET MGMT 030 SCSS S 41,600	UBS OCONNOR 031 MCO SS 75,000 36.39  OZ MGMT 040 MGA SS 80,000 39.64  CRAMER ROSENTHAL/SCOTT 070 MWW B 218,350 9.35  FIRST NY SEC/CHRIS 041 M SS 10,000 31.05  HUNTER GLOBAL INVESTOR 028 OSK B 37,821 21.89  IMPALA ASSET MMT 040 OXY B 25,000 97.79  RWC PARTNERS LTD 085 OXY B 10,405 97.78  COOPER CREEK PART 028 PAG B 15,000 20.99  BUCK CAPITAL MGMT 001 PVH B 30,000 73.76  COLUMBUS CIRCLE 036 REXX B 1,797 15.92  MUHLENKAMP FUND 046 REXX B 71,783 15.83  COOPER CREEK PART 028 RKT B 10,000 60.38  NEUBERGER BERMAN 036 RLJ B 600 14.90  THOMPSON SIEGAL&WALMSLEY 029 ROST S 9,000 88.25  SUN AMERICA ASSET MGMT 030 SCSS S 41,600 20.43	UBS OCONNOR 031 MCO SS 75,000 36.39 n/a  O2 MGMT 040 MGA SS 80,000 39.64 n/a  CRAMER ROSENTHAL/SCOTT 070 MWW B 218,350 9.35 n/a  FIRST NY SEC/CHRIS 041 M SS 10,000 31.05 n/a  HUNTER GLOBAL INVESTOR 028 OSK B 37,821 21.89 n/a  IMPALA ASSET MMT 040 OXY B 25,000 97.79 n/a  RWC PARTNERS LTD 085 OXY B 10,405 97.78 n/a  COOPER CREEK PART 028 PAG B 15,000 20.99 n/a  BUCK CAPITAL MGMT 001 PVH B 30,000 73.76 n/a  COLUMBUS CIRCLE 036 REXX B 1,797 15.92 n/a  MUHLENKAMP FUND 046 REXX B 71,783 15.83 n/a  COOPER CREEK PART 028 RKT B 10,000 60.38 n/a  NEUBERGER BERMAN 036 RLJ B 600 14.90 n/a  THOMPSON SIEGAL&WALMSLEY 029 ROST S 9,000 88.25 n/a  SUN AMERICA ASSET MGMT 030 SCSS S 41,600 20.43 n/a	UBS OCONNOR 031 MCO SS 75,000 36.39 n/a n/a  OZ MGMT 040 MGA SS 80,000 39.64 n/a n/a  CRAMER ROSENTHAL/SCOTT 070 MWW B 218,350 9.35 n/a n/a  FIRST NY SEC/CHRIS 041 M SS 10,000 31.05 n/a 28-Oct  HUNTER GLOBAL INVESTOR 028 OSK B 37,821 21.89 n/a n/a  IMPALA ASSET MMT 040 OXY B 25,000 97.79 n/a n/a  RWC PARTNERS LTD 085 OXY B 10,405 97.78 n/a n/a  COOPER CREEK PART 028 PAG B 15,000 20.99 n/a 19-Oct  BUCK CAPITAL MGMT 001 PVH B 30,000 73.76 n/a 21-Oct  COLUMBUS CIRCLE 036 REXX B 1,797 15.92 n/a n/a  MUHLENKAMP FUND 046 REXX B 71,783 15.83 n/a n/a  COOPER CREEK PART 028 RKT B 10,000 60.38 n/a 17-Oct  NEUBERGER BERMAN 036 RLJ B 600 14.90 n/a n/a  THOMPSON SIEGAL&WALMSLEY 029 ROST S 9,000 88.25 n/a 28-Oct  SUN AMERICA ASSET MGMT 030 SCSS S 41,600 20.43 n/a n/a	UBS OCONNOR 031 MCO SS 75,000 36.39 n/a n/a 2,250.00  OZ MGMT 040 MGA SS 80,000 39.64 n/a n/a 2,400.00  CRAMER ROSENTHAL/SCOTT 070 MWW B 218,350 9.35 n/a n/a 8,734.00  FIRST NY SEC/CHRIS 041 M SS 10,000 31.05 n/a 28-Oct 500.00  HUNTER GLOBAL INVESTOR 028 OSK B 37,821 21.89 n/a n/a 1,891.05  IMPALA ASSET MMT 040 OXY B 25,000 97.79 n/a n/a 1,250.00  RNC PARTNERS LTD 085 OXY B 10,405 97.78 n/a n/a 312.15  COOPER CREEK PART 028 PAG B 15,000 20.99 n/a 19-Oct 600.00  BUCK CAPITAL MCMT 001 PVH B 30,000 73.76 n/a 21-Oct 900.00  COLUMBUS CIRCLE 036 REXX B 1,797 15.92 n/a n/a 71.88  MUHLENKAMP FUND 046 REXX B 71,783 15.83 n/a n/a 3,589.15  COOPER CREEK PART 028 RKT B 10,000 60.38 n/a 17-Oct 400.00  NEUBERGER BERMAN 036 RLJ B 600 14.90 n/a n/a 28-Oct 360.00  THOMPSON SIEGALGWAIMSLEY 029 ROST S 9,000 88.25 n/a 28-Oct 360.00  SUN AMERICA ASSET MGMT 030 SCSS S 41,600 20.43 n/a n/a 1,664.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	Shr.
IMPALA ASSET MMT	040	SPY	SS	7 <b>,</b> 780	128.68	n/a	n/a	389.00 5	5.0
COLUMBUS CIRCLE	036	STMP	В	3,236	30.14	n/a	n/a	105.24 2	2.5
LITESPEED	028	STX	S	155 <b>,</b> 000	16.44	n/a	n/a	4,650.00 3	3.0
NEWLAND CAPITAL MGT	025	TIE	S	50,000	17.58	n/a	n/a	2,000.00 4	1.0
IMPALA ASSET MMT	040	UAL	S	75 <b>,</b> 000	19.68	n/a	n/a	3,000.00 4	1.0
MACQUARIE INVESTMENT MGMT	040	UAL	В	15,000	19.81	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	VMC	SS	40,000	33.13	n/a	n/a	1,600.00 4	1.0
MELLON/BANK OF NEW YORK	046	WAG	S	87 <b>,</b> 600	33.73	n/a	n/a	3,504.00 4	1.0
IMPALA ASSET MMT	040	WLT	В	80,325	81.74	n/a	n/a	4,016.25 5	5.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	49.01	n/a	21-0ct	1,500.00 3	3.0
MA CAPITAL MGMT/MELLON AI	)V041	WY	В	4,100	17.60	n/a	28-Oct	205.00 5	5.0
MA CAPITAL MGMT/MELLON AI	V041	WY	S	6,000	18.04	n/a	28-Oct	180.00 3	3.0
OZ MGMT	040	WY	В	174 <b>,</b> 852	17.92	n/a	28-Oct	5,245.56 3	3.0
SENATOR INVESTMENT GROUP	036	XOP	В	30,000	57.41	n/a	n/a	900.00 3	3.0

TOTAL (Trade Date): 135,683.80

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	Research	Comm.	¢/Shr.
AO,CXL	10/27	IMPALA ASSET MMT (IMPACITI)	040	UAL	S	3 <b>,</b> 398	19.72	n/a	n/a	0.00	0.0
AO,	10/27	IMPALA ASSET MMT (IMPACITI)	040	UAL	S	3,398	19.72	n/a	n/a	135.92	4.0
AO,CXL	10/27	IMPALA ASSET MMT (IMPABS)	040	UAL	S	96,602	19.72	n/a	n/a	0.00	0.0
AO,	10/27	IMPALA ASSET MMT (IMPABS)	040	UAL	S	96 <b>,</b> 602	19.72	n/a	n/a	3864.08	4.0
AO,	10/27	ROTHSCHILD ASSET (ROTH3762)	040	XOM	S	430	81.11	n/a	n/a	17.20	4.0
AO,CXL	10/27	ROTHSCHILD ASSET (ROTH3761)	040	MOX	S	430	81.11	n/a	n/a	17.20	4.0
TOTAL	TOTAL (AO, CXL, CRT): 4,000.00										

TOTAL (RUN DATE) / NFS:	139,683.80
TOTAL (AO, CXL, CRT):	4,000.00
TOTAL (Trade Date):	135,683.80

## 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