

Daily Compliance Activity Report Trade Date: 12/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LATEFF MGMT	035	AA	В	1,050	8.84	n/a	n/a	105.00	10.0
DEVENNY CAP LLC	044	ABX	S	10,000	46.11	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	AB	S	300	13.44	n/a	n/a	15.00	5.0
PLATTE RIVER CAPITAL	240	ARCO	В	37,000	19.90	n/a	31-0ct	1,480.00	4.0
PLATTE RIVER CAPITAL	240	ARMH	S	27,500	26.98	n/a	n/a	1,100.00	4.0
PATTEN & PATTEN	025	ВА	В	150	72.46	n/a	29-Nov	7.50	5.0
LATEFF MGMT	035	BDN	S	1,000	9.15	n/a	n/a	100.00	10.0
PATTEN & PATTEN	025	BDX	S	120	72.73	n/a	n/a	6.00	5.0
KLEINHEINZ CAP PART	031	BIG	В	68,000	38.05	n/a	2-Dec	3,400.00	5.0
LATEFF MGMT	035	BMS	S	400	29.70	n/a	n/a	40.00	10.0
PATTEN & PATTEN	025	вто	В	500	13.40	n/a	n/a	25.00	5.0
HALCYON LLC	041	СКН	В	1,900	89.01	n/a	n/a	57.00	3.0
FARALLON CAP MGMT	040	CMCSA	S	155,892	23.44	n/a	n/a	4,676.76	3.0
PENNANT CAP MGMT	029	COL	S	200,000	54.90	n/a	5-Dec	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
SURVEYOR CAPITAL	251	СРВ	S	30,584	32.86	n/a	n/a	917.52 3.0
ROARING BLUE LION MGMT	031	CROX	В	10,900	14.99	n/a	n/a	436.00 4.0
PATTEN & PATTEN	025	CSCO	S	200	18.45	n/a	n/a	10.00 5.0
SENATOR INVESTMENT GROUP	036	CVI	В	50,000	18.06	n/a	n/a	1,500.00 3.0
LATEFF MGMT	035	DD	В	850	44.99	n/a	20-Dec	110.50 13.0
TRELLUS PARTNERS LP	028	DE	SS	25,000	76.14	n/a	23-Nov	1,250.00 5.0
SURVEYOR CAPITAL	251	DPZ	S	45 , 521	33.43	n/a	20-0ct	1,365.63 3.0
LATEFF MGMT	035	DRE	В	1,500	11.94	n/a	n/a	150.00 10.0
SYSTEMATIC FINANCIAL MGT	035	EA	В	120,000	20.36	n/a	n/a	3,600.00 3.0
HARVEST MGMT	029	FL	S	12,000	23.00	n/a	18-Nov	480.00 4.0
MA CAPITAL MGMT/MELLON AD	V041	IT.	В		23 14	n/a	18-Nov	300.00 5.0
		FL	S	6,300	23.04	n/a	18-Nov	0.00 0.0
PATTEN & PATTEN	025	FRC	В	100	29.93	n/a	n/a	5.00 5.0
LATEFF MGMT	035	GLW	S	300	12.80	n/a	12-Dec	33.00 11.0
BALYASNY ASSET MGMT	044	GM	В	25,000	19.50	n/a	2-Dec	1,250.00 5.0
PATTEN & PATTEN	025	GVI	В	200	111.11	n/a	n/a	10.00 5.0
	SURVEYOR CAPITAL ROARING BLUE LION MGMT PATTEN & PATTEN SENATOR INVESTMENT GROUP LATEFF MGMT TRELLUS PARTNERS LP SURVEYOR CAPITAL LATEFF MGMT SYSTEMATIC FINANCIAL MGT HARVEST MGMT MA CAPITAL MGMT/MELLON AD MACQUARIE INVESTMENT MGMT PATTEN & PATTEN LATEFF MGMT BALYASNY ASSET MGMT	SURVEYOR CAPITAL 251 ROARING BLUE LION MGMT 031 PATTEN & PATTEN 025 SENATOR INVESTMENT GROUP 036 LATEFF MGMT 035 TRELLUS PARTNERS LP 028 SURVEYOR CAPITAL 251 LATEFF MGMT 035 SYSTEMATIC FINANCIAL MGT 035 HARVEST MGMT 029 MA CAPITAL MGMT/MELLON ADVO41 MACQUARIE INVESTMENT MGMT. 040 PATTEN & PATTEN 025 LATEFF MGMT 035 BALYASNY ASSET MGMT 044	SURVEYOR CAPITAL 251 CPB ROARING BLUE LION MGMT 031 CROX PATTEN & PATTEN 025 CSCO SENATOR INVESTMENT GROUP 036 CVI LATEFF MGMT 035 DD TRELLUS PARTNERS LP 028 DE SURVEYOR CAPITAL 251 DPZ LATEFF MGMT 035 DRE SYSTEMATIC FINANCIAL MGT 035 EA HARVEST MGMT 029 FL MA CAPITAL MGMT/MELLON ADV041 FL MACQUARIE INVESTMENT MGMT. 040 FL PATTEN & PATTEN 025 FRC LATEFF MGMT 035 GLW BALYASNY ASSET MGMT 044 GM	SURVEYOR CAPITAL 251 CPB S ROARING BLUE LION MGMT 031 CROX B PATTEN & PATTEN 025 CSCO S SENATOR INVESTMENT GROUP 036 CVI B LATEFF MGMT 035 DD B TRELLUS PARTNERS LP 028 DE SS SURVEYOR CAPITAL 251 DPZ S LATEFF MGMT 035 DRE B SYSTEMATIC FINANCIAL MGT 035 EA B HARVEST MGMT 029 FL S MA CAPITAL MGMT/MELLON ADV041 FL B MACQUARIE INVESTMENT MGMT. 040 FL S PATTEN & PATTEN 025 FRC B LATEFF MGMT 035 GLW S BALYASNY ASSET MGMT 044 GM B	SURVEYOR CAPITAL 251 CPB S 30,584 ROARING BLUE LION MGMT 031 CROX B 10,900 PATTEN & PATTEN 025 CSCO S 200 SENATOR INVESTMENT GROUP 036 CVI B 50,000 LATEFF MGMT 035 DD B 850 TRELLUS PARTNERS LP 028 DE SS 25,000 SURVEYOR CAPITAL 251 DPZ S 45,521 LATEFF MGMT 035 DRE B 1,500 SYSTEMATIC FINANCIAL MGT 035 EA B 120,000 HARVEST MGMT 029 FL S 12,000 MA CAPITAL MGMT/MELLON ADV041 FL B 6,000 MACQUARIE INVESTMENT MGMT. 040 FL S 6,300 PATTEN & PATTEN 025 FRC B 100 LATEFF MGMT 035 GLW S 300 BALYASNY ASSET MGMT 044 GM B 25,000	SURVEYOR CAPITAL 251 CPB S 30,584 32.86 ROARING BLUE LION MGMT 031 CROX B 10,900 14.99 PATTEN & PATTEN 025 CSCO S 200 18.45 SENATOR INVESTMENT GROUP 036 CVI B 50,000 18.06 LATEFF MGMT 035 DD B 850 44.99 TRELLUS PARTNERS LP 028 DE SS 25,000 76.14 SURVEYOR CAPITAL 251 DPZ S 45,521 33.43 LATEFF MGMT 035 DRE B 1,500 11.94 SYSTEMATIC FINANCIAL MGT 035 EA B 120,000 20.36 HARVEST MGMT 029 FL S 12,000 23.00 MA CAPITAL MGMT/MELLON ADV041 FL B 6,000 23.14 MACQUARIE INVESTMENT MGMT. 040 FL S 6,300 23.04 PATTEN & PATTEN 025 FRC B 100 29.93 LATEFF MGMT 035 GLW S 300 12.80 BALYASNY ASSET MGMT 044 GM B 25,000 19.50	SURVEYOR CAPITAL 251 CPB S 30,584 32.86 n/a ROARING BLUE LION MGMT 031 CROX B 10,900 14.99 n/a PATTEN & PATTEN 025 CSCO S 200 18.45 n/a SENATOR INVESTMENT GROUP 036 CVI B 50,000 18.06 n/a LATEFF MGMT 035 DD B 850 44.99 n/a TRELLUS PARTNERS LP 028 DE SS 25,000 76.14 n/a SURVEYOR CAPITAL 251 DPZ S 45,521 33.43 n/a LATEFF MGMT 035 DRE B 1,500 11.94 n/a SYSTEMATIC FINANCIAL MGT 035 EA B 120,000 20.36 n/a HARVEST MGMT 029 FL S 12,000 23.00 n/a MA CAPITAL MGMT/MELLON ADVO41 FL B 6,000 23.14 n/a MACQUARIE INVESTMENT MGMT. 040 FL S 6,300 23.04 n/a PATTEN & PATTEN 025 FRC B 100 29.93 n/a LATEFF MGMT 035 GLW S 300 12.80 n/a BALYASNY ASSET MGMT 044 GM B 25,000 19.50 n/a	SURVEYOR CAPITAL 251 CPB S 30,584 32.86

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LATEFF MGMT	035	HD	S	300	41.54	n/a	8-Dec	39.00	13.0
WHITE PINE CAPITAL	030	HEK	S	14,000	6.89	n/a	n/a	420.00	3.0
LATEFF MGMT	035	HPQ	В	125	26.00	n/a	n/a	27.50	22.0
SIMMONS VENTURES	041	HWD	В	1,500	9.90	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	IAI	S	200	20.68	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	INTC	В	400	23.91	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	ITT	S	50	19.74	n/a	n/a	2.50	5.0
CAERUS GLOBAL	041	JNY	S	17,600	9.65	n/a	27-Oct	704.00	4.0
PATTEN & PATTEN	025	JPM	S	1,040	31.96	n/a	15-Dec	52.00	5.0
LATEFF MGMT	035	KFT	S	175	36.85	n/a	n/a	22.75	13.0
SURVEYOR CAPITAL	251	KFT	В	81,500	36.91	n/a	n/a	2,445.00	3.0
LATEFF MGMT	035	KMB	S	100	72.24	n/a	25-Oct	30.00	30.0
HARVEST MGMT	029	LAVA	SS	10,000	7.16	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	LLY	В	275	40.99	n/a	n/a	13.75	5.0
HARVEST MGMT	029	LOW	В	15,000	25.39	n/a	7-Dec	600.00	4.0
PATTEN & PATTEN	025	LQD	В	250	113.42	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
TUDOR INVESTORS	028	MHK	В	2,000	55.50	n/a	n/a	60.00	3.0
PATTEN & PATTEN	025	MMM	S	108	80.09	n/a	12-Dec	5.40	5.0
NORTHWESTERN MUTUAL LIFE	047	MMP	S	3,000	65.65	n/a	n/a	120.00	4.0
CRAMER ROSENTHAL/SCOTT	070	MTN	В	9,700	43.66	n/a	n/a	388.00	4.0
PECONIC PARTNERS	036	NBL	В	50,000	91.63	n/a	n/a	2,500.00	5.0
KACELA CAPITAL	034	NCR	В	3 , 574	16.30	n/a	n/a	142.96	4.0
DEVENNY CAP LLC	044	NEM	В	10,000	62.48	n/a	n/a	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	NEM	В	80,000	62.69	n/a	n/a	3,200.00	4.0
PATTEN & PATTEN	025	NSC	В	25	70.53	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	NUE	S	100	39.84	n/a	n/a	5.00	5.0
LATEFF MGMT	035	NYB	В	400	11.97	n/a	7-Dec	40.00	10.0
LATEFF MGMT	035	OI	В	400	18.33	n/a	n/a	40.00	10.0
LATEFF MGMT	035	PBCT	В	900	12.37	n/a	21-Oct	90.00	10.0
LATEFF MGMT	035	PG	S	125	65.71	n/a	16-Nov	37.50	30.0
KACELA CAPITAL	034	PIR	S	53,719	13.75	n/a	n/a	2,148.76	4.0
SURVEYOR CAPITAL	251	RCL	S	86,300	24.29	n/a	n/a	2,589.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PATTEN & PATTEN	025	RF	S	304	4.05	n/a	n/a	15.20	5.0
WEINTRAUB CAPITAL MGT.	040	RTN	В	75,000	46.94	n/a	21-Nov	3,000.00	4.0
PATTEN & PATTEN	025	SDS	S	750	19.93	n/a	n/a	37.50	5.0
HARVEST MGMT	029	SHW	В	5,000	86.02	n/a	14-Dec	200.00	4.0
PATTEN & PATTEN	025	SIAL	S	50	65.03	n/a	12-Dec	2.50	5.0
ROARING BLUE LION MGMT	031	SSI	S	7,777	14.46	n/a	n/a	311.08	4.0
PATTEN & PATTEN	025	STI	S	100	16.65	n/a	n/a	5.00	5.0
FARALLON CAP MGMT	040	STT	S	125,000	40.56	n/a	19-Dec	5,000.00	4.0
PATTEN & PATTEN	025	SWN	S	100	32.56	n/a	20-Dec	5.00	5.0
TRUST CO OF THE WEST/NY	040	S	S	31,200	2.22	n/a	n/a	936.00	3.0
TRUST CO/COWEN/CALF.	040	S	S	828,225	2.22	n/a	n/a	24,846.75	3.0
LATEFF MGMT	035	TCB	S	500	9.87	n/a	n/a	50.00	10.0
BRONSON POINT	036	TGT	S	25,000	51.90	n/a	2-Dec	750.00	3.0
PATTEN & PATTEN	025	Т	В	100	29.13	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	URBN	С	36,696	26.85	n/a	n/a	1,100.88	3.0
PATTEN & PATTEN	025	UTX	S	135	74.43	n/a	n/a	6.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	VC	В	10,000	47.14	n/a	n/a	400.00 4.0	
PATTEN & PATTEN	025	XLS	S	100	8.61	n/a	n/a	5.00 5.0	
PATTEN & PATTEN	025	XYL	S	100	24.16	n/a	n/a	5.00 5.0	
PATTEN & PATTEN	025	X	S	2,060	24.83	n/a	n/a	103.00 5.0	

TOTAL (Trade Date): 82,041.44

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	12/19	BROADARCH CAP/OLD NEWC (BROAJPM)	070	QQQ	В	400	55.09	n/a	n/a	16.00	4.0
AO,CXL	12/19	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	QQQ	В	400	55.09	n/a	n/a	16.00	4.0
AO,CXL	12/19	SANDLER O'NEILL ASSET (SANOJPMBS)	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60	5.0
AO, CRT	12/19	SANDLER O'NEILL ASSET (SANO)	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60	5.0

TOTAL (RUN DATE) / NFS:	82,041.44
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	82,041.44

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