



## Daily Compliance Activity Report

Trade Date: 11/09/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	B	14,400	67.24	n/a	n/a	576.00	4.0
BALYASNY ASSET MGMT	044	AEO	S	25,000	13.82	n/a	4-Nov	1,250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AFL	SS	30,000	44.32	n/a	n/a	1,500.00	5.0
WINSLOW CAPITAL	030	ALTR	B	100	36.95	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	AMTD	B	100	16.82	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	AMT	B	200	58.18	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ANF	B	100	57.18	n/a	4-Nov	3.00	3.0
OZ MGMT	040	ARW	C	19,189	35.25	n/a	n/a	575.67	3.0
SCOPUS FUND	041	ASH	S	1,300	50.42	n/a	9-Nov	52.00	4.0
CATAPULT	040	ATI	S	15,000	46.51	n/a	n/a	600.00	4.0
OZ MGMT	040	AVT	C	21,991	30.37	n/a	n/a	659.73	3.0
LATEFF MGMT	035	BBT	B	125	23.08	n/a	n/a	31.25	25.0
RAINIER INV MGMT	035	BEN	S	21,080	104.71	n/a	2-Mar	843.20	4.0
WINSLOW CAPITAL	030	BEN	B	100	105.29	n/a	2-Mar	3.00	3.0
WINSLOW CAPITAL	030	BIDU	B	100	138.89	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	BIG	B	10,000	40.31	n/a	3-Nov	500.00	5.0
WINSLOW CAPITAL	030	BTU	B	200	41.85	n/a	n/a	6.00	3.0
DEVENNY CAP LLC	044	BWA	B	5,000	68.05	n/a	9-Nov	150.00	3.0
BALYASNY ASSET MGMT	044	CA	C	100,000	21.54	n/a	n/a	5,000.00	5.0
DEVENNY CAP LLC	044	CBT	B	6,300	30.59	n/a	4-Nov	189.00	3.0
WINSLOW CAPITAL	030	CELG	B	100	64.99	n/a	n/a	3.00	3.0
ROSEDALE CAPITAL	046	CHK	B	10,000	26.27	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	CNP	B	59,020	19.89	n/a	n/a	2,360.80	4.0
HIGHBRIDGE CAP	041	COH	S	8,000	62.85	n/a	26-Oct	240.00	3.0
WOODWAY FINANCIAL	031	COH	B	13,325	63.85	n/a	26-Oct	799.50	6.0
BMO NESBITT BURNS	041	CRI	B	1,500	36.50	n/a	n/a	75.00	5.0
WINSLOW CAPITAL	030	CTRP	B	200	34.13	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CTSH	B	200	68.94	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CXO	B	200	98.00	n/a	n/a	6.00	3.0
OHIO PERS	047	DE	S	70,000	72.76	n/a	14-Sep	2,100.00	3.0
WINSLOW CAPITAL	030	DE	B	100	74.54	n/a	14-Sep	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	DHR	B	400	48.73	n/a	n/a	12.00	3.0
FIRST NY SEC/CHRIS	041	DRI	B	10,000	47.04	n/a	3-Oct	500.00	5.0
WINSLOW CAPITAL	030	ECL	B	100	54.78	n/a	8-Nov	3.00	3.0
WINSLOW CAPITAL	030	EMC	B	900	24.46	n/a	n/a	27.00	3.0
ASCEND PARTNERS	033	ENR	B	13,500	70.04	n/a	7-Nov	405.00	3.0
LATEFF MGMT	035	ENR	B	150	70.41	n/a	7-Nov	37.50	25.0
NEUBERGER BERMAN	036	EOG	B	22,560	98.95	n/a	n/a	902.40	4.0
WINSLOW CAPITAL	030	ESRX	B	100	47.12	n/a	n/a	3.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FINL	S	10,000	20.27	n/a	23-Sep	0.00	0.0
WINSLOW CAPITAL	030	FLR	B	200	54.56	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	FTI	B	79,600	46.62	n/a	n/a	2,388.00	3.0
DAVIDSON KEMPNER ADVISOR	040	GDX	SS	25,000	61.67	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	GIS	B	200	39.16	n/a	n/a	6.00	3.0
BALYASNY ASSET MGMT	044	GM	C	100,000	22.26	n/a	2-Nov	5,000.00	5.0
BALYASNY ASSET MGMT	044	GM	SS	25,000	22.93	n/a	2-Nov	1,250.00	5.0
BNP PARIBAS SEC	040	GM	B	50,000	23.38	n/a	2-Nov	2,500.00	5.0
DEVENNY CAP LLC	044	GM	SS	20,000	22.78	n/a	2-Nov	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREENLIGHT CAPITAL	041	GM	B	400,000	23.08	n/a	2-Nov	20,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	692,553	22.89	n/a	2-Nov	20,776.59	3.0
OZ MGMT	040	GM	C	150,000	23.14	n/a	2-Nov	4,500.00	3.0
RIDGECREST INV MGMT LLC	028	GM	B	15,000	22.83	n/a	2-Nov	750.00	5.0
SONTERRA CAP	041	GM	B	50,000	22.86	n/a	2-Nov	2,000.00	4.0
ENTRUST CAPITAL	040	GRMN	SS	20,300	35.64	n/a	n/a	1,015.00	5.0
LATEFF MGMT	035	HD	S	100	37.18	n/a	16-Aug	25.00	25.0
OZ MGMT	040	HE	SS	116,568	26.00	n/a	n/a	3,497.04	3.0
LATEFF MGMT	035	HPQ	S	225	26.44	n/a	n/a	45.00	20.0
WINSLOW CAPITAL	030	ICE	B	100	125.23	n/a	n/a	3.00	3.0
RAINIER INV MGMT	035	IFF	S	56,880	54.02	n/a	8-Nov	2,275.20	4.0
WINSLOW CAPITAL	030	INTU	B	100	53.03	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	ITW	B	100	47.30	n/a	26-Oct	3.00	3.0
CHESAPEAKE PARTNERS	028	JAKK	B	400	18.75	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	JPM	B	200	33.58	n/a	8-Nov	6.00	3.0
LATEFF MGMT	035	KFT	S	125	34.75	n/a	n/a	31.25	25.0
BNP PARIBAS SEC	040	KSS	B	25,000	54.55	n/a	4-Nov	1,250.00	5.0
EPOCH INV MGMT	030	LMOS	B	14,064	15.23	n/a	n/a	421.92	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	LOW	B	10,000	22.65	n/a	17-Oct	500.00	5.0
WINSLOW CAPITAL	030	LVS	B	200	47.03	n/a	13-Jun	6.00	3.0
OZ MGMT	040	LXK	C	18,558	33.34	n/a	n/a	556.74	3.0
RBC CAPITAL MARKETS	040	MAR	S	15,000	30.32	n/a	13-Jun	600.00	4.0
PILOT ADV	041	MAT	SS	12,000	28.06	n/a	n/a	360.00	3.0
SCOPUS FUND	041	MFB	SS	30,000	17.88	n/a	n/a	1,200.00	4.0
SIMMONS VENTURES	041	MFB	B	5,000	18.25	n/a	n/a	200.00	4.0
DSG CAPITAL	030	MGM	S	40,000	10.49	n/a	13-Jun	1,200.00	3.0
OHIO PERS	047	MMM	B	62,000	78.96	n/a	8-Nov	1,860.00	3.0
WINSLOW CAPITAL	030	MON	B	200	73.25	n/a	19-Oct	6.00	3.0
DEVENNY CAP LLC	044	MOS	S	10,000	56.78	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	M	B	5,000	30.50	n/a	4-Nov	200.00	4.0
SIMMONS VENTURES	041	M	SS	5,000	30.50	n/a	4-Nov	200.00	4.0
COOPER CREEK PART	028	NP	B	200	18.09	n/a	9-Nov	8.00	4.0
WINSLOW CAPITAL	030	ORCL	B	800	32.46	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	OXY	B	200	98.80	n/a	n/a	6.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	PETM	S	20,000	46.63	n/a	n/a	1,200.00	6.0
NEWLAND CAPITAL MGT	025	PKG	S	25,000	25.81	n/a	18-Oct	1,000.00	4.0
BMO NESBITT BURNS	041	PLCE	S	2,000	45.96	n/a	9-Nov	100.00	5.0
COUGAR TRADING	044	PLCE	SS	5,000	45.63	n/a	9-Nov	250.00	5.0
FIRST NY SEC/CHRIS	041	PLCE	B	10,000	46.05	n/a	9-Nov	500.00	5.0
KADE CAPITAL LLC	028	PLCE	B	5,000	45.83	n/a	9-Nov	250.00	5.0
ROYCE TRADING	031	PLCE	B	2,500	45.68	n/a	9-Nov	125.00	5.0
CHART WELL ADV	028	PPG	S	20,000	86.14	n/a	20-Oct	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>69.44</b>	<b>n/a</b>	<b>21-Oct</b>	<b>600.00</b>	<b>3.0</b>
SENATOR INVESTMENT GROUP	036	PXP	B	100,000	34.50	n/a	n/a	3,000.00	3.0
WINSLOW CAPITAL	030	QCOM	B	300	56.24	n/a	n/a	9.00	3.0
RBC CAPITAL MARKETS	040	RCL	S	15,000	26.55	n/a	n/a	600.00	4.0
OZ MGMT	040	RIMM	C	75,000	18.55	n/a	n/a	2,250.00	3.0
COLUMBUS CIRCLE	036	RNOW	S	12,800	42.93	n/a	n/a	512.00	4.0
BMO NESBITT BURNS	041	RUE	B	2,000	24.79	n/a	n/a	100.00	5.0
WINSLOW CAPITAL	030	SBUX	B	100	43.79	n/a	4-Nov	3.00	3.0
WINSLOW CAPITAL	030	SHPGY	B	100	95.52	n/a	7-Nov	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	SLB	B	200	74.22	n/a	n/a	6.00	3.0
SENATOR INVESTMENT GROUP	036	SLE	B	36,000	18.34	n/a	n/a	1,080.00	3.0
COUGAR TRADING	044	SMG	S	2,500	42.51	n/a	9-Nov	125.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	SODA	S	2,000	38.00	n/a	n/a	100.00	5.0
DEVENNY CAP LLC	044	SPY	B	5,000	123.87	n/a	n/a	150.00	3.0
RESERVOIR CAPITAL GROUP LLC	060	SPY	B	7,500	125.31	n/a	n/a	225.00	3.0
MOORE CAPITAL	041	SYMS	B	15,733	8.94	n/a	n/a	471.99	3.0
FIRST NEW YORK NICK	029	S	B	20,000	2.74	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	51.75	n/a	3-Nov	200.00	4.0
PILOT ADV	041	TKR	SS	5,000	42.31	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	UNH	B	200	45.79	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	UNP	B	100	99.61	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	UTX	B	200	77.38	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	VAR	B	100	57.34	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	VRSN	B	100	32.91	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	V	B	100	93.90	n/a	27-Oct	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	WCRX	B	15,000	17.60	n/a	7-Nov	750.00	5.0
TRUSTCO/SUNTRUST	040	WEN	S	112,112	5.27	n/a	9-Nov	3,923.96	3.5
WINSLOW CAPITAL	030	YUM	B	100	54.92	n/a	5-Oct	3.00	3.0
TUDOR INVESTORS	028	ZUMZ	B	12,500	21.86	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date):</b>							<b>116,669.74</b>		



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/08	VISIUM/BALY BOBBY (VISBMSBOB)	044	IR	S	10,000	32.26	n/a	20-Oct	400.00 4.0
AO,	11/08	VISIUM/BALY BOBBY (VISBMSBOB)	044	IR	S	10,000	32.26	n/a	20-Oct	500.00 5.0
AO,CXL	11/08	VISIUM/BALY BOBBY (VISBMSBOB)	044	NUE	B	10,000	39.06	n/a	n/a	400.00 4.0
AO,	11/08	VISIUM/BALY BOBBY (VISBMSBOB)	044	NUE	B	10,000	39.06	n/a	n/a	500.00 5.0
AO,	11/03	NEUBERGER BERMAN (NBER700774)	036	PPDI	S	300	33.01	n/a	n/a	12.00 4.0
AO,CXL	11/03	NEUBERGER BERMAN (&NBER70077)	036	PPDI	S	300	33.01	n/a	n/a	12.00 4.0
AO,	11/04	NEUBERGER BERMAN (NBER700774)	036	PPDI	S	800	33.02	n/a	n/a	32.00 4.0
AO,CXL	11/04	NEUBERGER BERMAN (&NBER70077)	036	PPDI	S	800	33.02	n/a	n/a	32.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>200.00</b>

TOTAL (Trade Date):	116,669.74
TOTAL (AO, CXL, CRT):	200.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>116,869.74</b>
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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