



## Daily Compliance Activity Report

Trade Date: 12/09/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	ABM	SS	10,000	21.04	n/a	n/a	400.00	4.0
OHIO PERS	047	ARG	B	26,000	77.34	n/a	27-Oct	780.00	3.0
SEVEN LOCKS CAPITAL	025	ASPS	S	5,000	50.14	n/a	n/a	150.00	3.0
KACELA CAPITAL	034	AVY	B	27,701	28.29	n/a	2-Dec	1,108.04	4.0
HARVEST MGMT	029	BBBY	B	5,000	62.57	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	BBY	S	1,000	27.50	n/a	n/a	50.00	5.0
SONTERRA CAP	041	BWA	B	50,000	69.83	n/a	9-Nov	2,000.00	4.0
<b>BAIRD INVESTMENT</b>	<b>098</b>	<b>CLB</b>	<b>S</b>	<b>3,102</b>	<b>115.19</b>	<b>n/a</b>	<b>21-Jul</b>	<b>155.10</b>	<b>5.0</b>
COPIA CAPITAL	031	CNX	B	40,385	39.67	n/a	n/a	1,413.48	3.5
TUDOR INVESTORS	028	DD	B	5,000	43.60	n/a	9-Dec	150.00	3.0
SONTERRA CAP	041	DG	B	40,000	40.38	n/a	5-Dec	1,600.00	4.0
ETON PARK CAPITAL	041	DLTR	S	17,200	83.31	n/a	22-Nov	688.00	4.0
HARVEST MGMT	029	DRI	SS	5,000	43.62	n/a	6-Dec	200.00	4.0
WOODWAY FINANCIAL	031	GE	S	150	16.96	n/a	n/a	9.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	HPQ	S	1,050	28.27	n/a	n/a	63.00	6.0
OHIO PERS	047	HUN	S	204,309	10.01	n/a	n/a	6,129.27	3.0
LATEFF MGMT	035	INTC	S	500	24.97	n/a	n/a	75.00	15.0
WOODWAY FINANCIAL	031	INTC	S	500	24.92	n/a	n/a	30.00	6.0
MADISON ST PARTNERS LLC	046	IWM	B	47,972	74.09	n/a	n/a	2,398.60	5.0
HARVEST MGMT	029	JACK	SS	5,000	20.79	n/a	n/a	200.00	4.0
LATEFF MGMT	035	KMB	S	150	70.02	n/a	25-Oct	45.00	30.0
STELLIAM INV ADV	034	MPC	S	20,000	34.00	n/a	n/a	1,000.00	5.0
WOODWAY FINANCIAL	031	MRVL	B	1,500	14.20	n/a	n/a	90.00	6.0
MTB INV ADV	034	MTW	S	162,233	10.50	n/a	26-Oct	4,866.99	3.0
PATTEN & PATTEN	025	NUE	B	400	40.15	n/a	n/a	20.00	5.0
DSG CAPITAL	030	NYB	B	20,000	12.05	n/a	7-Dec	600.00	3.0
LATEFF MGMT	035	NYB	S	1,000	12.06	n/a	7-Dec	100.00	10.0
WOODWAY FINANCIAL	031	PETM	S	225	49.12	n/a	n/a	13.50	6.0
ETON PARK CAPITAL	041	PFE	S	250,000	20.55	n/a	n/a	10,000.00	4.0
HARVEST MGMT	029	PIR	B	10,000	13.45	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	PLCE	SS	12,712	55.40	n/a	22-Nov	635.60	5.0
SCOPUS FUND	041	PVH	B	60,000	71.86	n/a	2-Dec	2,400.00	4.0
LATEFF MGMT	035	RKT	B	600	57.42	n/a	10-Nov	90.00	15.0
DARUMA ASSET MGMT INC	046	ROG	B	5,100	40.29	n/a	n/a	204.00	4.0
KAM ADVISORS LLC	041	SLB	S	23,100	74.22	n/a	n/a	693.00	3.0
NOKOMIS PARTNERS	031	SYNA	SS	20,000	33.49	n/a	n/a	600.00	3.0
PATTEN & PATTEN	025	TEVA	B	300	40.18	n/a	9-Dec	15.00	5.0
MELLON/BANK OF NEW YORK	046	TMO	S	220,100	45.25	n/a	n/a	8,804.00	4.0
ARMATURE CAPITAL	041	TXT	SS	50,000	18.17	n/a	n/a	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	WHR	B	25,000	49.78	n/a	n/a	1,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	WLP	S	25,000	66.91	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>52,626.58</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/08	GALT INVESTMENT (GALTGS)	041	AEO	B	50,000	14.77	n/a	2-Dec	2500.00 5.0
AO,CRT	12/08	GALT INVESTMENT (GALTGS)	041	AEO	B	50,000	14.77	n/a	2-Dec	2000.00 4.0
AO,CRT	12/06	LISTED ERR (LISTED ERR)	099	MW	B	2,500	27.48	n/a	n/a	0.00 0.0
AO,CRT	12/06	LISTED ERR (LISTED ERR)	099	MW	S	2,500	27.50	n/a	n/a	0.00 0.0
CRT	12/09	LATEFF MGMT (LATE5379)	035	NYB	S	1,000	12.06	n/a	7-Dec	100.00 10.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-400.00</b>
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TOTAL (Trade Date) :	52,626.58
TOTAL (AO, CXL, CRT) :	-400.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>52,226.58</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