

## **Daily Compliance Activity Report** Trade Date: 10/14/2011

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

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MERRILL ASSET/BLACKROCK	297	AFG	S	13,300	32.69	n/a	n/a	532.00	4.0
OHIO PERS	047	AKAM	В	63,000	24.11	n/a	n/a	1,890.00	3.0
CASTLE ARK	031	APC	В	111,040	69.76	n/a	12-Oct	5,552.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ARG	В	46,600	68.72	n/a	20-Sep	1,864.00	4.0
SMITH MGMT LLC	029	AXL	S	139,715	9.05	n/a	1-Aug	4,191.45	3.0
MERRILL ASSET/BLACKROCK	297	COG	S	16,420	65.36	n/a	12-0ct	656.80	4.0
HAMILTON CAP PART FIN	031	С	В	10,000	28.05	n/a	7-0ct	400.00	4.0
MA CAPITAL MGMT/MELLON AD	V041	DPZ	В	5,000	28.43	n/a	14-Oct	250.00	5.0
OHIO PERS	047	EBAY	В	70,000	33.50	n/a	n/a	2,100.00	3.0
HAMILTON CAP PART FIN	031	FHN	В	50,000	6.55	n/a	n/a	1,500.00	3.0
MACQUARIE INVESTMENT MGMT	. 040	FINL	В	5,000	21.20	n/a	23-Sep	0.00	0.0
ROYCE TRADING	031	FINL	В	2,000	21.01	n/a	23-Sep	100.00	5.0
BRONSON POINT	036	GE	В	100,000	16.54	n/a	n/a	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	S	30,000	23.56	n/a	4-0ct	900.00	3.0
OZ MGMT	040	GM	С	30,000	23.90	n/a	4-Oct	900.00	3.0

MERRILL ASSET/BLACKROCK         297         HFC         S         54,800         34.67         n/a         n/a         2,192.00         4           CAMBIAR CAP         046         HSP         B         92,170         37.97         n/a         13-Oct         3,686.80         4           MILLENNIUM-ANDEW         031         HYG         B         58,000         86.18         n/a         n/a         2,900.00         5           NEW JERSEY DIV OF INV.         030         IJR         S         67,000         64.66         n/a         n/a         2,680.00         6           OHIO PERS         047         JNPR         B         44,000         21.11         n/a         n/a         1,320.00         3           CARRUS GLOBAL         041         JNY         B         37,400         10.67         n/a         28-Jul         1,496.00         4           EGS ASSOCIATES LP         091         JNY         B         3,000         10.49         n/a         28-Jul         120.00         4           LEVIN CAPITAL STRATEGIES         041         LEA         B         10,000         48.37         n/a         n/a         1,000.00         3           OZ MGMT										
MERRILL ASSET/BLACKROCK         297         HFC         S         54,800         34.67         n/a         n/a         2,192.00         A           CAMBIAR CAP         046         HSP         B         92,170         37.97         n/a         13-Oct         3,686.80         A           MILLENNIUM-ANDEW         031         HYG         B         58,000         86.18         n/a         n/a         2,900.00         9           NEW JERSEY DIV OF INV.         030         IJR         S         67,000         64.66         n/a         n/a         2,680.00         A           OHIO PERS         047         JNPR         B         44,000         21.11         n/a         n/a         1,320.00         3           CAZERUS GLOBAL         041         JNY         B         37,400         10.67         n/a         28-Jul         1,496.00         4           EGS ASSOCIATES LP         091         JNY         B         3,000         10.49         n/a         28-Jul         120.00         4           LEVIN CAPITAL STRATEGIES         041         LEA         B         10,000         48.37         n/a         n/a         1,500.00         3           CATAPULT <t< th=""><th>Account</th><th>RR #</th><th>Symbol</th><th>B/S</th><th>Shares</th><th>Price</th><th>MRI</th><th>Research</th><th>Comm.¢</th><th>:/Shr.</th></t<>	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CAMBIAR CAP 046 HSP B 92,170 37.97 n/a 13-Oct 3,686.80 A MILLENNIUM-ANDEW 031 HYG B 58,000 86.18 n/a n/a 2,900.00 S NEW JERSEY DIV OF INV. 030 IJR S 67,000 64.66 n/a n/a 2,680.00 A OHIO PERS 047 JNPR B 44,000 21.11 n/a n/a 1,320.00 S CAERUS GLOBAL 041 JNY B 37,400 10.67 n/a 28-Jul 1,496.00 A EGS ASSOCIATES LP 091 JNY B 3,000 10.49 n/a 28-Jul 120.00 A DEVIN CAPITAL STRATEGIES 041 LEA B 10,000 48.37 n/a 5-Aug 300.00 S CATAPULT 040 LINE S 25,000 37.47 n/a n/a 1,000.00 A CATAPULT 040 MGA SS 50,000 37.22 n/a n/a 1,500.00 S SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 A CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 A ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 S NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 A NEUBERGER BERMAN 036 PLD S 1	TUDOR INVESTORS	028	HBI	В	25 <b>,</b> 000	26.36	n/a	21-Jul	750.00	3.0
MILLENNIUM-ANDEW 031 HYG B 58,000 86.18 n/a n/a 2,900.00 8  NEW JERSEY DIV OF INV. 030 IJR S 67,000 64.66 n/a n/a 2,680.00 4  OHIO PERS 047 JNPR B 44,000 21.11 n/a n/a 1,320.00 3  CAERUS GLOBAL 041 JNY B 37,400 10.67 n/a 28-Jul 1,496.00 4  EGS ASSOCIATES LP 091 JNY B 3,000 10.49 n/a 28-Jul 120.00 4  LEVIN CAPITAL STRATEGIES 041 LEA B 10,000 48.37 n/a 5-Aug 300.00 3  CATAPULT 040 LINE S 25,000 37.47 n/a n/a 1,000.00 4  SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 6  CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 6  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 9  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 64	MERRILL ASSET/BLACKROCK	297	HFC	S	54,800	34.67	n/a	n/a	2,192.00	4.0
NEW JERSEY DIV OF INV.         030         IJR         S         67,000         64.66         n/a         n/a         2,680.00         64.60           OHIO PERS         047         JNPR         B         44,000         21.11         n/a         n/a         1,320.00         3           CAERUS GLOBAL         041         JNY         B         37,400         10.67         n/a         28-Jul         1,496.00         4           EGS ASSOCIATES LP         091         JNY         B         3,000         10.49         n/a         28-Jul         120.00         4           LEVIN CAPITAL STRATEGIES         041         LEA         B         10,000         48.37         n/a         5-Aug         300.00         3           CATAPULT         040         LINE         S         25,000         37.47         n/a         n/a         1,500.00         3           SONTERRA CAP         041         NOC         SS         50,000         37.22         n/a         n/a         1,500.00         4           CHALSON/MILLENIUM         041         PG         SS         20,000         64.49         n/a         10-Oct         800.00         4           NEUBERGER BERMAN	CAMBIAR CAP	046	HSP	В	92,170	37.97	n/a	13-Oct	3,686.80	4.0
OHIO PERS 047 JNPR B 44,000 21.11 n/a n/a 1,320.00 2  CAERUS GLOBAL 041 JNY B 37,400 10.67 n/a 28-Jul 1,496.00 4  EGS ASSOCIATES LP 091 JNY B 3,000 10.49 n/a 28-Jul 120.00 4  LEVIN CAPITAL STRATEGIES 041 LEA B 10,000 48.37 n/a 5-Aug 300.00 3  CATAPULT 040 LINE S 25,000 37.47 n/a n/a 1,000.00 4  OZ MGMT 040 MGA SS 50,000 37.22 n/a n/a 1,500.00 3  SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 4  CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 4  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 54  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4	MILLENNIUM-ANDEW	031	HYG	В	58,000	86.18	n/a	n/a	2,900.00	5.0
CAERUS GLOBAL 041 JNY B 37,400 10.67 n/a 28-Jul 1,496.00 4  EGS ASSOCIATES LP 091 JNY B 3,000 10.49 n/a 28-Jul 120.00 4  LEVIN CAPITAL STRATEGIES 041 LEA B 10,000 48.37 n/a 5-Aug 300.00 3  CATAPULT 040 LINE S 25,000 37.47 n/a n/a 1,000.00 4  OZ MGMT 040 MGA SS 50,000 37.22 n/a n/a 1,500.00 3  SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 4  CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 4  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 5  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 64	NEW JERSEY DIV OF INV.	030	IJR	S	67,000	64.66	n/a	n/a	2,680.00	4.0
EGS ASSOCIATES LP         091         JNY         B         3,000         10.49         n/a         28-Jul         120.00         4           LEVIN CAPITAL STRATEGIES         041         LEA         B         10,000         48.37         n/a         5-Aug         300.00         3           CATAPULT         040         LINE         S         25,000         37.47         n/a         n/a         1,000.00         4           OZ MGMT         040         MGA         SS         50,000         37.22         n/a         n/a         1,500.00         3           SONTERRA CAP         041         NOC         SS         70,000         54.41         n/a         26-Sep         2,800.00         4           CHALSON/MILLENIUM         041         PG         SS         20,000         64.49         n/a         10-Oct         800.00         4           ROYCE TRADING         031         PLCE         B         800         46.71         n/a         18-Aug         40.00         5           NEUBERGER BERMAN         036         PLD         S         100,000         25.56         n/a         n/a         4,000.00         4	OHIO PERS	047	JNPR	В	44,000	21.11	n/a	n/a	1,320.00	3.0
CATAPULT 040 LINE S 25,000 37.47 n/a n/a 1,000.00 4  OZ MGMT 040 MGA SS 50,000 37.22 n/a n/a 1,500.00 3  SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 4  CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 4  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 5  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4										4.0 <b>4</b> .0
OZ MGMT 040 MGA SS 50,000 37.22 n/a n/a 1,500.00 3  SONTERRA CAP 041 NOC SS 70,000 54.41 n/a 26-Sep 2,800.00 4  CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 4  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 5  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4	LEVIN CAPITAL STRATEGIES	041	LEA	В	10,000	48.37	n/a	5-Aug	300.00	3.0
SONTERRA CAP         041         NOC         SS         70,000         54.41         n/a         26-Sep         2,800.00         4           CHALSON/MILLENIUM         041         PG         SS         20,000         64.49         n/a         10-Oct         800.00         4           ROYCE TRADING         031         PLCE         B         800         46.71         n/a         18-Aug         40.00         5           NEUBERGER BERMAN         036         PLD         S         100,000         25.56         n/a         n/a         4,000.00         4	CATAPULT	040	LINE	S	25 <b>,</b> 000	37.47	n/a	n/a	1,000.00	4.0
CHALSON/MILLENIUM 041 PG SS 20,000 64.49 n/a 10-Oct 800.00 4  ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 5  NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4	OZ MGMT	040	MGA	SS	50,000	37.22	n/a	n/a	1,500.00	3.0
ROYCE TRADING 031 PLCE B 800 46.71 n/a 18-Aug 40.00 5 NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4	SONTERRA CAP	041	NOC	SS	70,000	54.41	n/a	26-Sep	2,800.00	4.0
NEUBERGER BERMAN 036 PLD S 100,000 25.56 n/a n/a 4,000.00 4	CHALSON/MILLENIUM	041	PG	SS	20,000	64.49	n/a	10-Oct	800.00	4.0
	ROYCE TRADING	031	PLCE	В	800	46.71	n/a	18-Aug	40.00	5.0
BRIGADE CAPITAL MGMT 029 RAD B 250,000 1.04 n/a n/a 7,500.00 3	NEUBERGER BERMAN	036	PLD	S	100,000	25.56	n/a	n/a	4,000.00	4.0
	BRIGADE CAPITAL MGMT	029	RAD	В	250,000	1.04	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
DEVENNY CAP LLC	044	SEE	В	5,000	17.47	n/a	2-Jun	150.00 3.0
MERRILL ASSET/BLACKROCK	297	TRH	В	7,700	51.28	n/a	n/a	308.00 4.0
SONTERRA CAP	041	UPL	SS	7,500	28.95	n/a	12-Oct	300.00 4.0
CAERUS GLOBAL	041	URBN	В	25,163	23.80	n/a	n/a	1,006.52 4.0
LEVIN CAPITAL STRATEGIES	041	URBN	SS	50,000	23.58	n/a	n/a	1,500.00 3.0
SIMMONS VENTURES	041	URBN	SS	5,000	24.03	n/a	n/a	200.00 4.0
BASIX	033	XME	SS	18,000	51.28	n/a	n/a	540.00 3.0
CHALSON/MILLENIUM	041	YUM	В	25 <b>,</b> 000	52.07	n/a	5-0ct	1,000.00 4.0

TOTAL (Trade Date): 61,925.57

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	10/13	NEW JERSEY DIV OF INV. (NEWJ5162)	030	ALK	S	25,000	63.76	n/a	n/a	1000.00	4.0
AO, CRT	10/13	NEW JERSEY DIV OF INV. (NEWJ5140)	030	ALK	S	25,000	63.76	n/a	n/a	1000.00	4.0
AO,	10/13	ROYCE TRADING (ROYC56)	031	UNT	В	7,300	42.05	n/a	12-Oct	365.00	5.0
AO,	10/13	ROYCE TRADING (ROYC6)	031	UNT	В	9,400	42.05	n/a	12-Oct	470.00	5.0
AO,	10/13	ROYCE TRADING (ROYC87)	031	UNT	В	8,300	42.05	n/a	12-0ct	415.00	5.0
TOTAL	FOTAL (AO, CXL, CRT): 1,250.00										

TOTAL (RUN DATE) / NFS:	63,175.57
TOTAL (AO, CXL, CRT):	1,250.00
TOTAL (Trade Date):	61,925.57

## 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