



Daily Compliance Activity Report

Trade Date: 12/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACC	S	30,000	40.44	n/a	n/a	1,050.00	3.5
COUGAR TRADING	044	AGCO	B	10,000	42.24	n/a	12-Dec	500.00	5.0
COUGAR TRADING	044	AGCO	S	10,000	41.26	n/a	12-Dec	500.00	5.0
DEVENNY CAP LLC	044	AGCO	B	5,000	41.77	n/a	12-Dec	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	AMGN	B	5,000	60.81	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	AMT	B	97,706	58.77	n/a	n/a	3,908.24	4.0
CAISSE DEPOT PLACEMENT Q	295	ATML	B	40,000	8.26	n/a	n/a	1,200.00	3.0
PZENA INV ADV	044	AXS	S	1,050	30.98	n/a	n/a	36.75	3.5
MACQUARIE INVESTMENT MGMT.	040	A	SS	5,000	33.94	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	BA	B	50,000	72.27	n/a	29-Nov	2,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	BMJ	S	10,000	34.19	n/a	n/a	0.00	0.0
BALLAST CAP	040	CDE	B	7,000	25.25	n/a	n/a	350.00	5.0
FIRST NEW YORK LEDDY	035	CHRS	B	20,000	4.84	n/a	n/a	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	CINF	B	50,000	30.12	n/a	n/a	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	COH	SS	50,000	58.90	n/a	26-Oct	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	COL	B	22,600	53.28	n/a	5-Dec	678.00	3.0
PENNANT CAP MGMT	029	COL	S	200,000	53.73	n/a	5-Dec	6,000.00	3.0
UNITED STATES PENSION	085	DTV	S	964,468	42.20	n/a	n/a	9,644.68	1.0
SCOPUS FUND	041	EL	B	15,000	108.19	n/a	3-Nov	600.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EPD	S	50,000	44.89	n/a	n/a	2,000.00	4.0
RAINIER INV MGMT	035	EWBC	B	102,490	18.89	n/a	n/a	4,099.60	4.0
WEINTRAUB CAPITAL MGT.	040	FCX	B	30,000	37.75	n/a	n/a	1,200.00	4.0
OHIO PERS	047	FTR	B	128,000	4.88	n/a	n/a	3,840.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GES	SS	10,000	29.38	n/a	1-Dec	0.00	0.0
DEVENNY CAP LLC	044	GM	B	5,000	20.39	n/a	2-Dec	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	GS	SS	15,000	89.98	n/a	15-Dec	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	HBI	S	10,000	22.19	n/a	30-Nov	0.00	0.0
MERRILL ASSET/BLACKROCK	297	HHS	S	9,215	9.56	n/a	n/a	368.60	4.0
MACQUARIE INVESTMENT MGMT.	040	HOLX	B	5,000	16.77	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	HUM	B	5,000	85.96	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	ITW	S	5,000	47.01	n/a	5-Dec	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	JCI	SS	5,000	29.22	n/a	21-Nov	150.00	3.0
PZENA INV ADV	044	JCP	S	2,225	32.65	n/a	2-Dec	77.88	3.5
MILLENNIUM-ANDEW	031	JOY	B	5,000	76.91	n/a	15-Dec	250.00	5.0
ROSEDALE CAPITAL	046	KEG	B	20,000	13.34	n/a	13-Dec	800.00	4.0
PROSPECTOR PARTNERS LLC	036	KGC	B	10,000	12.06	n/a	n/a	400.00	4.0
SIMMONS VENTURES	041	KSW	B	10,000	2.53	n/a	n/a	300.00	3.0
OHIO PERS	047	MAS	B	100,000	9.10	n/a	n/a	3,000.00	3.0
WEINTRAUB CAPITAL MGT.	040	MDR	B	100,000	10.20	n/a	n/a	4,000.00	4.0
DEVENNY CAP LLC	044	MGA	B	5,000	33.10	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	MMP	S	15,700	65.70	n/a	n/a	628.00	4.0
CAISSE DEPOT PLACEMENT Q	295	MXL	B	20,000	4.44	n/a	n/a	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	21.71	n/a	9-Nov	400.00	4.0
RIDGECREST INV MGMT LLC	028	NTSP	B	16,000	7.84	n/a	n/a	800.00	5.0
TRUSTCO/SUNTRUST	040	PFE	S	50,000	21.28	n/a	n/a	1,750.04	3.5
HOPLITE MGMT	025	PGR	B	100,000	18.87	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	PPG	S	425	81.63	n/a	14-Dec	14.88	3.5
OHIO PERS	047	QCOM	S	40,000	53.35	n/a	n/a	1,200.00	3.0
MACQUARIE INVESTMENT MGMT.	040	RMD	B	5,000	24.84	n/a	n/a	0.00	0.0
CHESAPEAKE PARTNERS	028	SEMG	B	20,000	25.50	n/a	n/a	600.00	3.0
PZENA INV ADV	044	SPR	S	1,925	19.28	n/a	11-Nov	67.38	3.5
STELLIAM INV ADV	034	STX	B	5,000	15.43	n/a	n/a	250.00	5.0
BRONSON POINT	036	SWY	SS	40,000	20.56	n/a	n/a	1,200.00	3.0
DEVENNY CAP LLC	044	TEN	B	5,000	27.21	n/a	n/a	150.00	3.0
STELLIAM INV ADV	034	TEVA	S	5,000	42.71	n/a	16-Dec	250.00	5.0
OHIO PERS	047	TXT	S	68,000	17.61	n/a	n/a	2,040.00	3.0
OHIO PERS	047	UNH	S	73,572	49.24	n/a	n/a	2,207.16	3.0
WHITE PINE CAPITAL	030	UNT	S	4,000	44.28	n/a	13-Dec	120.00	3.0
BRONSON POINT	036	URI	B	85,000	27.34	n/a	n/a	2,550.00	3.0
OHIO PERS	047	VMED	B	30,000	21.05	n/a	n/a	900.00	3.0
PZENA INV ADV	044	VR	S	950	29.95	n/a	n/a	33.25	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	WCG	B	5,000	52.67	n/a	n/a	0.00	0.0
OHIO PERS	047	WDC	B	60,000	31.44	n/a	n/a	1,800.00	3.0
TOTAL (Trade Date):								75,614.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/15	ADALY INV MGMT (ADALOPP)	031	CDE	SS	10,900	24.81	n/a	n/a	545.00 5.0
AO,CRT	12/15	ADALY INV MGMT (ADALOPP)	031	CDE	SS	10,900	24.81	n/a	n/a	490.50 4.5
AO,CXL	12/15	ADALY INV MGMT (ADALSOMF)	031	CDE	SS	19,700	24.81	n/a	n/a	985.00 5.0
AO,CRT	12/15	ADALY INV MGMT (ADALSOMF)	031	CDE	SS	19,700	24.81	n/a	n/a	886.50 4.5
AO,CXL	12/15	ADALY INV MGMT (ADALSRF)	031	CDE	SS	4,400	24.81	n/a	n/a	220.00 5.0
AO,CRT	12/15	ADALY INV MGMT (ADALSRF)	031	CDE	SS	4,400	24.81	n/a	n/a	198.00 4.5
AO,CXL	12/15	GALT INVESTMENT (GALTGS)	041	CROX	B	50,000	14.37	n/a	n/a	2500.00 5.0
AO,CRT	12/15	GALT INVESTMENT (GALTGS)	041	CROX	B	50,000	14.37	n/a	n/a	2000.00 4.0
AO,	12/14	LISTED ERR (LISTED ERR)	099	HXL	B	45,000	23.34	n/a	8-Dec	0.00 0.0
AO,	12/14	LISTED ERR (LISTED ERR)	099	HXL	S	45,000	23.34	n/a	8-Dec	0.00 0.0
AO,CXL	12/15	SYSTEMATIC FINANCIAL MGT (SYST179)	035	MWV	B	1,025	28.67	n/a	26-Oct	30.75 3.0
AO,	12/15	SYSTEMATIC FINANCIAL MGT (SYST170)	035	MWV	B	1,025	28.67	n/a	26-Oct	30.75 3.0
TOTAL (AO, CXL, CRT) :										-675.00
TOTAL (Trade Date) :										75,614.46
TOTAL (AO, CXL, CRT) :										-675.00
TOTAL (RUN DATE) / NFS :										74,939.46

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