



## Daily Compliance Activity Report

Trade Date: 08/16/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ACC	S	5,000	36.63	n/a	n/a	200.00	4.0
PROSPECTOR PARTNERS LLC	036	ADP	B	10,000	47.59	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	CHS	SS	27,000	12.51	n/a	5-Feb	810.00	3.0
COUGAR TRADING	044	COF	S	5,000	44.33	n/a	15-Aug	250.00	5.0
KLEINHEINZ CAP PART	031	CVS	S	50,000	33.61	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	CWH	S	5,000	20.38	n/a	n/a	200.00	4.0
BASSWOOD PARTNERS	267	C	S	24,060	30.36	n/a	16-Aug	962.40	4.0
DAVIDSON INV ADV	035	DVN	B	5,510	69.60	n/a	3-Aug	220.40	4.0
DENVER INST. ADV	046	ENDP	S	77,400	32.63	n/a	15-Aug	3,096.00	4.0
SURVEYOR CAPITAL	041	FRX	B	50,000	35.14	n/a	15-Aug	1,500.00	3.0
MAIRS AND POWER INV	030	GIS	S	10,000	36.31	n/a	n/a	500.00	5.0
OSKIE CAPITAL MGMT	224	HBAN	B	20,000	5.11	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	IP	B	25,000	26.18	n/a	4-Aug	1,250.00	5.0
CAERUS GLOBAL	041	JAH	SS	25,240	29.44	n/a	n/a	1,009.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	JCI	B	20,000	32.91	n/a	8-Aug	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	JCP	C	11,050	26.53	n/a	12-Aug	442.00	4.0
HIGHBRIDGE CAP	041	JCP	SS	6,000	26.73	n/a	12-Aug	180.00	3.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	200,000	10.35	n/a	28-Jul	8,000.00	4.0
ROSEDALE CAPITAL	046	LPX	B	50,000	6.84	n/a	5-Aug	1,500.00	3.0
DAVIDSON INV ADV	035	MRO	B	27,770	27.35	n/a	n/a	1,110.80	4.0
PZENA INV ADV	044	MS	S	5,250	17.40	n/a	16-Aug	183.75	3.5
THE JAY GOLDMAN	028	M	B	10,000	24.70	n/a	11-Aug	400.00	4.0
PZENA INV ADV	044	NOC	S	2,825	53.00	n/a	16-Aug	98.88	3.5
CLOVIS CAPITAL	012	NWSA	S	50,000	17.14	n/a	n/a	2,500.00	5.0
FARALLON CAP MGMT	040	NWSA	B	155,000	17.14	n/a	n/a	4,650.00	3.0
SONTERRA CAP	041	OSK	B	25,000	18.44	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	PPG	S	1,200	75.55	n/a	11-Aug	42.00	3.5
SCOPUS FUND	041	PPG	S	50,000	75.53	n/a	11-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	297	PRA	S	15,000	68.74	n/a	n/a	600.00	4.0
AVESTA CAP	229	ROK	SS	25,000	62.89	n/a	n/a	750.00	3.0
BALLAST CAP	040	TGT	S	7,600	48.89	n/a	4-Aug	380.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	TGT	S	10,000	49.50	n/a	4-Aug	400.00	4.0
MASTERS CAPITAL MANAGE	025	TGT	S	50,000	49.14	n/a	4-Aug	2,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TJX	S	5,000	54.98	n/a	5-Aug	0.00	0.0
PZENA INV ADV	044	UBS	S	7,225	14.90	n/a	n/a	252.88	3.5
BNP PARIBAS SEC	040	WRC	B	13,800	51.19	n/a	2-Aug	690.00	5.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	51.04	n/a	2-Aug	750.00	3.0
RAINIER INV MGMT	035	WWD	B	18,400	30.08	n/a	n/a	736.00	4.0
ADALY INV MGMT	031	XLE	SS	25,000	67.78	n/a	n/a	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	XRM	B	10,000	13.72	n/a	n/a	400.00	4.0
GEORGE WEISS	034	YUM	B	15,000	51.19	n/a	10-Aug	600.00	4.0
PZENA INV ADV	044	ZMH	S	1,400	52.60	n/a	n/a	49.00	3.5
<b>TOTAL (Trade Date):</b>								<b>45,863.71</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									45,863.71
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									45,863.71
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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