



Daily Compliance Activity Report

Trade Date: 08/25/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	AMZN	S	5,000	195.27	n/a	n/a	250.00	5.0
MOORE CAPITAL	041	A	S	25,000	33.01	n/a	n/a	1,000.00	4.0
OHIO PERS	047	BA	S	38,200	61.36	n/a	25-Aug	1,146.00	3.0
STATE TEACHERS RET SYS	047	BMS	S	300	30.01	n/a	n/a	15.00	5.0
BMO NESBITT BURNS	041	BWS	SS	7,200	6.62	n/a	n/a	360.00	5.0
BMO NESBITT BURNS	041	BWS	S	3,800	6.66	n/a	n/a	190.00	5.0
HUNTER GLOBAL INVESTOR	028	CAT	SS	24,000	84.49	n/a	25-Jul	1,200.00	5.0
BASIX	033	CE	S	16,000	41.22	n/a	20-May	480.00	3.0
LATEFF MGMT	035	F	B	1,350	10.33	n/a	3-Aug	147.50	11.7
BMO NESBITT BURNS	041	HD	SS	4,000	34.58	n/a	16-Aug	200.00	5.0
Õ Nilsa Vazquez		IVR	B	500	16.6500	n/a	n/a	0.00	0.0
WEISS PECK	040	JPM	B	9,600	36.51	n/a	24-Aug	480.00	5.0
JP MORGAN VENTURES	046	LOW	S	10,000	20.18	n/a	15-Aug	300.00	3.0
LATEFF MGMT	035	LOW	B	1,000	20.21	n/a	15-Aug	100.00	10.0
BMO NESBITT BURNS	041	LPX	B	10,000	6.09	n/a	5-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	6.10	n/a	5-Aug	5,000.00	5.0
ROTHSCHILD ASSET	040	MLI	S	9,229	42.49	n/a	26-Jul	369.16	4.0
MOORE CAPITAL	041	MMI	B	25,000	37.91	n/a	n/a	1,000.00	4.0
LISTED ERR	099	MMI	B	22,400	37.96	n/a	n/a	0.00	0.0
LISTED ERR	099	MMI	S	22,400	37.96	n/a	n/a	0.00	0.0
TYEE/TYGH	035	MOD	S	20,000	10.31	n/a	n/a	600.00	3.0
BNP PARIBAS SEC	040	M	S	55,600	25.17	n/a	11-Aug	2,780.00	5.0
TALPION LLC	040	NCR	S	30,000	16.10	n/a	n/a	1,200.00	4.0
CATAPULT	040	NTRS	S	5,000	37.13	n/a	20-Jul	200.00	4.0
SONTERRA CAP	041	OSK	B	65,900	17.59	n/a	n/a	2,636.00	4.0
LATEFF MGMT	035	PBCT	B	1,500	10.89	n/a	21-Jul	120.00	8.0
SEVEN LOCKS CAPITAL	025	PCL	B	20,000	35.92	n/a	27-Jul	600.00	3.0
OHIO PERS	047	PCP	B	15,200	154.93	n/a	29-Jul	456.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	23.68	n/a	4-Aug	1,500.00	5.0
LATEFF MGMT	035	PKG	B	400	23.51	n/a	4-Aug	60.00	15.0
MERRILL ASSET/BLACKROCK	297	RE	S	6,000	75.79	n/a	n/a	240.00	4.0
SONTERRA CAP	041	RKT	B	23,110	47.74	n/a	4-Aug	924.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	RTI	SS	10,600	23.64	n/a	n/a	424.00	4.0
CATAPULT	040	STT	B	5,000	33.61	n/a	24-Aug	200.00	4.0
TRAFELET & COMP.	028	SWFT	C	100,000	8.59	n/a	n/a	3,000.00	3.0
HIGHBRIDGE CAP	041	TIF	B	8,000	66.27	n/a	n/a	240.00	3.0
RIDGECREST INV MGMT LLC	028	TRLG	SS	10,000	28.17	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	VOD	B	30,000	26.77	n/a	n/a	1,500.00	5.0
BMO NESBITT BURNS	041	WMT	B	2,000	53.47	n/a	25-Aug	100.00	5.0
TOTAL (Trade Date) :								30,018.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/22	SMITH MGMT LLC (SMITJPMORG)	029	PSUN	S	200,000	2.01	n/a	n/a	8000.00 4.0
AO,CRT	08/22	SMITH MGMT LLC (SMITJPMORG)	029	PSUN	S	200,000	2.01	n/a	n/a	6000.00 3.0

TOTAL (AO, CXL, CRT) :	-2,000.00
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TOTAL (Trade Date) :	30,018.06
TOTAL (AO, CXL, CRT) :	-2,000.00

TOTAL (RUN DATE) / NFS:	28,018.06
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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