



Daily Compliance Activity Report

Trade Date: 09/19/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	AEO	B	20,000	11.47	n/a	25-Aug	600.00	3.0
ROYCE TRADING	031	AEO	B	5,000	11.19	n/a	25-Aug	250.00	5.0
EATON VANCE MGMT	029	APA	S	50,000	94.50	n/a	19-Sep	1,500.00	3.0
TRUST CO/COWEN/CALF.	040	APC	B	6,000	74.39	n/a	14-Sep	300.00	5.0
SIMMONS VENTURES	041	ARO	B	5,000	10.30	n/a	19-Aug	200.00	4.0
BASIX	033	AXE	S	5,000	57.68	n/a	17-Aug	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	BBY	SS	2,500	24.89	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	BHI	B	5,000	57.82	n/a	n/a	250.00	5.0
EATON VANCE MGMT	029	BTU	S	50,000	44.49	n/a	n/a	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	CAT	SS	7,500	83.94	n/a	14-Sep	375.00	5.0
MERRILL ASSET/BLACKROCK	297	CBG	B	5,000	14.31	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	CBT	B	20,000	31.09	n/a	19-Sep	1,000.00	5.0
MACQUARIE INVESTMENT MGMT.	040	CPX	B	5,000	26.77	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	CROX	B	1,500	28.29	n/a	n/a	0.00	0.0
LATEFF MGMT	035	CSCO	S	150	16.31	n/a	n/a	37.50	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	CVS	S	75,000	35.51	n/a	n/a	3,750.00	5.0
THE JAY GOLDMAN	028	EXPR	S	15,000	20.80	n/a	n/a	600.00	4.0
OZ MGMT	040	F	SS	200,000	10.35	n/a	2-Sep	6,000.00	3.0
LATEFF MGMT	035	GE	B	1,000	15.93	n/a	n/a	100.00	10.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	23.05	n/a	2-Sep	450.00	3.0
OZ MGMT	040	GM	C	147,263	22.36	n/a	2-Sep	4,417.89	3.0
TROUBH PART	070	GM	B	25,000	22.60	n/a	2-Sep	1,250.00	5.0
LATEFF MGMT	035	HPQ	B	225	22.77	n/a	n/a	33.75	15.0
NORTHWESTERN MUTUAL LIFE	047	HYG	B	123,780	86.65	n/a	n/a	2,475.60	2.0
BRONSON POINT	036	JEF	C	10,000	14.04	n/a	n/a	300.00	3.0
NORTHWESTERN MUTUAL LIFE	047	JNK	B	312,250	38.07	n/a	n/a	6,245.00	2.0
DE SHAW	070	KMB	B	25,000	69.72	n/a	25-Jul	750.00	3.0
LATEFF MGMT	035	KMB	S	350	69.35	n/a	25-Jul	52.50	15.0
MACQUARIE INVESTMENT MGMT.	040	KR	S	10,000	22.08	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	KSS	SS	5,000	46.85	n/a	2-Sep	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	LMT	SS	20,000	76.70	n/a	25-Aug	0.00	0.0
RBC CAPITAL MARKETS	040	LVS	B	25,000	48.09	n/a	13-Jun	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	MSFT	S	500	26.78	n/a	n/a	50.00	10.0
BMO NESBITT BURNS	041	NDN	B	10,000	20.28	n/a	16-Sep	400.00	4.0
SMITH MGMT LLC	029	NDN	S	175,000	20.32	n/a	16-Sep	5,250.00	3.0
LATEFF MGMT	035	NYB	B	1,000	12.66	n/a	18-Aug	100.00	10.0
LATEFF MGMT	035	OI	S	1,800	17.76	n/a	n/a	180.00	10.0
ROARING BLUE LION MGMT	031	PLCE	S	5,500	45.15	n/a	18-Aug	220.00	4.0
ASCEND PARTNERS	033	PVH	B	100	64.25	n/a	1-Sep	5.00	5.0
SCOPUS FUND	041	PVH	SS	57,294	65.77	n/a	1-Sep	2,291.76	4.0
LEVIN CAPITAL STRATEGIES	041	PXP	S	7,500	28.13	n/a	n/a	225.00	3.0
ROTHSCHILD ASSET	040	PXP	B	5,738	28.31	n/a	n/a	229.52	4.0
MA CAPITAL MGMT/MELLON ADV041		RKT	B	2,000	54.24	n/a	4-Aug	100.00	5.0
MACQUARIE INVESTMENT MGMT. 040		SHW	B	5,000	74.31	n/a	7-Sep	0.00	0.0
MACQUARIE INVESTMENT MGMT. 040		SMG	SS	2,500	46.39	n/a	9-Aug	0.00	0.0
ROYCE TRADING	031	SUP	S	10,900	16.25	n/a	8-Aug	545.00	5.0
BUTTE CAPITAL MGMT LLC	084	SWN	B	5,000	39.40	n/a	14-Sep	250.00	5.0
TRUST CO OF THE WEST/NY	040	SWY	S	14,000	17.63	n/a	n/a	560.00	4.0
TRUST CO/COWEN/CALF.	040	SWY	S	16,790	17.63	n/a	n/a	671.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO OF THE WEST/NY	040	TAP	S	6,600	42.35	n/a	n/a	330.00	5.0
TRUST CO/COWEN/CALF.	040	TAP	S	6,450	42.35	n/a	n/a	322.50	5.0
LATEFF MGMT	035	TEVA	S	75	37.59	n/a	19-Sep	26.25	35.0
BALLAST CAP	040	TGT	B	2,500	52.61	n/a	1-Sep	125.00	5.0
RBC CAPITAL MARKETS	040	TIN	B	15,647	31.29	n/a	13-Sep	469.41	3.0
BALLAST CAP	040	TJX	B	3,300	57.15	n/a	2-Sep	165.00	5.0
CHARTER OAK	033	TRH	S	25,000	47.76	n/a	n/a	1,250.00	5.0
DE SHAW	070	WMT	B	20,000	52.27	n/a	25-Aug	600.00	3.0
WEISS PECK	040	XLF	S	13,300	12.61	n/a	n/a	399.00	3.0
TOTAL (Trade Date):								48,552.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/19	RBC CAPITAL MARKETS (RBCCMAIN)	040	TIN	B	15,647	31.29	n/a	13-Sep	469.41 3.0
AO,CXL	09/16	IVORY CAPITAL (IVORCSFB)	034	XRT	SS	60,000	50.03	n/a	n/a	300.00 0.5
AO,	09/16	IVORY CAPITAL (IVORCSFB)	034	XRT	SS	60,000	50.03	n/a	n/a	3000.00 5.0

TOTAL (AO, CXL, CRT) :	3,169.41
-------------------------------	-----------------

TOTAL (Trade Date) :	48,552.28
----------------------	-----------

TOTAL (AO, CXL, CRT) :	3,169.41
------------------------	----------

TOTAL (RUN DATE) / NFS:	51,721.69
--------------------------------	------------------

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