



## Daily Compliance Activity Report

Trade Date: 08/29/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
HIGHBRIDGE CAP	041	ANF	B	4,000	61.32	n/a	18-Aug	120.00 3.0
HIGHBRIDGE CAP	041	BBY	SS	11,000	24.96	n/a	n/a	330.00 3.0
DELTEC ASSET MGMT.	040	BHI	B	10,000	57.70	n/a	n/a	500.00 5.0
ASCEND PARTNERS	033	BIG	B	18,200	33.56	n/a	25-Aug	546.00 3.0
EPOCH INV MGMT	030	BTU	B	2,920	47.81	n/a	n/a	87.60 3.0
CHESAPEAKE PARTNERS	028	CCI	S	3,944	42.30	n/a	n/a	118.32 3.0
HIGHBRIDGE CAP	041	CHS	SS	19,000	13.51	n/a	5-Feb	570.00 3.0
EPOCH INV MGMT	030	CMCSK	S	100	20.76	n/a	n/a	3.00 3.0
HIGHBRIDGE CAP	041	COH	B	4,500	55.73	n/a	3-Aug	135.00 3.0
KLEINHEINZ CAP PART	031	CVS	B	50,000	34.89	n/a	n/a	2,500.00 5.0
TALPION LLC	040	DSW	C	5,000	46.50	n/a	11-Feb	200.00 4.0
STATE TEACHERS RET SYS	047	GIS	S	75,000	37.02	n/a	n/a	3,750.00 5.0
BNP PARIBAS SEC	040	GLD	S	5,000	173.95	n/a	n/a	250.00 5.0
HIGHBRIDGE CAP	041	GPS	SS	16,000	16.50	n/a	n/a	480.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHFIELDS CAP MGMT	030	H	B	100,000	34.36	n/a	13-Jun	4,000.00	4.0
SONTERRA CAP	041	IGT	B	42,253	15.01	n/a	13-Jun	1,690.12	4.0
BRONSON POINT	036	IP	S	5,000	26.75	n/a	4-Aug	150.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	26.64	n/a	4-Aug	1,000.00	5.0
HIGHBRIDGE CAP	041	JCP	SS	10,000	26.99	n/a	29-Aug	300.00	3.0
EPOCH INV MGMT	030	KO	B	4,020	69.16	n/a	20-Jul	120.60	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>SS</b>	<b>30,000</b>	<b>47.33</b>	<b>n/a</b>	<b>29-Aug</b>	<b>900.00</b>	<b>3.0</b>
BMO NESBITT BURNS	041	LPX	S	25,000	6.58	n/a	5-Aug	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	6.59	n/a	5-Aug	2,500.00	5.0
DAVIDSON INV ADV	035	MDU	S	65,875	21.09	n/a	n/a	2,635.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>PG</b>	<b>S</b>	<b>1,400</b>	<b>63.15</b>	<b>n/a</b>	<b>8-Aug</b>	<b>56.00</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	24.57	n/a	4-Aug	1,250.00	5.0
EPOCH INV MGMT	030	PRU	S	4,400	49.55	n/a	n/a	132.00	3.0
FORTRESS INVESTMENT (US)	036	RSG	S	28,000	30.38	n/a	n/a	1,120.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>TDW</b>	<b>S</b>	<b>2,000</b>	<b>52.00</b>	<b>n/a</b>	<b>n/a</b>	<b>80.00</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	TIF	B	4,000	70.49	n/a	n/a	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	TWX	B	1,540	30.96	n/a	n/a	46.20	3.0
EPOCH INV MGMT	030	VIAB	S	6,000	46.36	n/a	n/a	180.00	3.0
LOCUS WOOD CAPITAL MGMT	044	VOD	S	40,000	26.77	n/a	n/a	1,600.00	4.0
BNP PARIBAS SEC	040	WRC	S	8,800	52.11	n/a	2-Aug	440.00	5.0
WEISS PECK	040	XLFX	S	27,000	13.13	n/a	n/a	810.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	112,348	19.21	n/a	n/a	3,370.44	3.0
<b>TOTAL (Trade Date) :</b>								<b>33,090.28</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									33,090.28
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									33,090.28

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