



Daily Compliance Activity Report

Trade Date: 08/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
SAVITR CAPITAL	084	AES	B	20,000	10.24	n/a	n/a	600.00 3.0
WINSLOW CAPITAL	030	AMT	S	12,900	51.44	n/a	n/a	387.00 3.0
HIGHBRIDGE CAP	041	ANF	B	4,500	57.88	n/a	18-Aug	135.00 3.0
ASCEND PARTNERS	033	BIG	B	100,000	32.61	n/a	25-Aug	3,000.00 3.0
SONTERRA CAP	041	BTU	B	50,000	45.19	n/a	n/a	2,000.00 4.0
MERCHANTS GATE CAP LP	036	COST	SS	25,000	77.06	n/a	n/a	1,000.00 4.0
WINSLOW CAPITAL	030	DE	S	7,800	75.21	n/a	18-Aug	234.00 3.0
WINSLOW CAPITAL	030	DHR	S	20,300	42.98	n/a	n/a	609.00 3.0
HARVEST MGMT	086	ENR	B	10,000	74.62	n/a	28-Jul	400.00 4.0
WINSLOW CAPITAL	030	FTI	S	18,500	42.02	n/a	n/a	555.00 3.0
CYPRESS CAP MGMT LLC	040	GNC	B	18,100	22.79	n/a	n/a	724.00 4.0
BNP PARIBAS SEC	040	HBI	B	30,000	26.20	n/a	21-Jul	1,500.00 5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	14,500	70.15	n/a	n/a	580.00 4.0
OHIO PERS	047	IBM	S	13,900	167.20	n/a	n/a	417.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	IRM	SS	8,200	31.49	n/a	n/a	410.00	5.0
HIGHBRIDGE CAP	041	KSS	S	6,750	46.37	n/a	12-Aug	202.50	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	6.26	n/a	5-Aug	2,500.00	5.0
TYEE/TYGH	035	MOD	S	87,400	10.39	n/a	n/a	2,622.00	3.0
WALL STREET CAPITAL	084	NAV	S	54,500	39.97	n/a	10-Aug	2,452.50	4.5
OHIO PERS	047	NTAP	B	64,000	36.04	n/a	n/a	1,920.00	3.0
COUGAR TRADING	044	OXM	S	2,500	32.88	n/a	n/a	125.00	5.0
COLUMBIA PARTNERS	028	RBC	C	4,184	52.80	n/a	n/a	167.36	4.0
SONTERRA CAP	041	RKT	B	8,200	47.07	n/a	4-Aug	328.00	4.0
SONTERRA CAP	041	RTI	SS	5,900	23.23	n/a	n/a	236.00	4.0
SENATOR INVESTMENT GROUP	036	SU	B	40,000	30.36	n/a	n/a	1,200.00	3.0
MTB INV ADV	034	TEN	B	18,025	30.10	n/a	n/a	901.25	5.0
BASIX	033	TEX	B	63,000	14.54	n/a	22-Jul	1,890.00	3.0
HIGHBRIDGE CAP	041	TIF	B	4,000	67.18	n/a	n/a	120.00	3.0
WINSLOW CAPITAL	030	UNP	S	11,800	89.57	n/a	n/a	354.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	URBN	SS	10,000	24.80	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	UTX	S	9,000	71.79	n/a	n/a	270.00	3.0
SONTERRA CAP	041	VALE	SS	83,700	26.14	n/a	n/a	3,348.00	4.0
WINSLOW CAPITAL	030	V	S	12,500	85.45	n/a	24-Aug	375.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	16.05	n/a	29-Jul	1,250.00	5.0
WEISS PECK	040	XLE	B	5,200	64.30	n/a	n/a	260.00	5.0
HARVEST MGMT	086	XLP	SS	25,000	29.87	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								34,372.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/25	THIRD POINT MGMT (THIRDB)	044	HIBB	SS	1,300	35.95	n/a	n/a	52.00 4.0
AO,	08/25	THIRD POINT MGMT (THIRCITI)	044	HIBB	SS	46,800	35.95	n/a	n/a	1872.00 4.0
AO,	08/25	THIRD POINT MGMT (THIRGOLDMA)	044	HIBB	SS	1,900	35.95	n/a	n/a	76.00 4.0
AO,CXL	08/25	SEVEN LOCKS CAPITAL (SEVEGSBULK)	025	PCL	B	16,000	35.92	n/a	27-Jul	480.00 3.0
AO,CRT	08/25	SEVEN LOCKS CAPITAL (SEVEGSBULK)	025	PCL	B	20,000	35.92	n/a	27-Jul	600.00 3.0
AO,CXL	08/25	SEVEN LOCKS CAPITAL (SEVEUBSPB)	025	PCL	B	4,000	35.92	n/a	27-Jul	120.00 3.0

TOTAL (AO, CXL, CRT) :	2,000.00
-------------------------------	-----------------

TOTAL (Trade Date) :	34,372.61
TOTAL (AO, CXL, CRT) :	2,000.00

TOTAL (RUN DATE) / NFS :	36,372.61
---------------------------------	------------------

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