



## Daily Compliance Activity Report

Trade Date: 10/03/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	ABCO	S	14,318	59.58	n/a	n/a	572.72	4.0
BALYASNY ASSET MGMT	044	AEO	B	25,000	11.47	n/a	25-Aug	1,250.00	5.0
HIGHBRIDGE CAP	041	ANN	B	16,000	21.78	n/a	n/a	480.00	3.0
ARMATURE CAPITAL	041	AVY	SS	50,000	24.20	n/a	6-Sep	2,000.00	4.0
AVESTA CAP	229	CAT	SS	50,000	72.21	n/a	14-Sep	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	CFR	B	9,700	44.47	n/a	n/a	388.00	4.0
SENATOR INVESTMENT GROUP	036	CHK	SS	500,000	24.95	n/a	n/a	15,000.00	3.0
HIGHBRIDGE CAP	041	CHS	B	23,000	10.87	n/a	5-Feb	690.00	3.0
MTB INV ADV	034	CLB	B	1,025	88.93	n/a	21-Jul	51.25	5.0
MERRILL ASSET/BLACKROCK	297	COG	S	3,200	60.10	n/a	27-Sep	128.00	4.0
CATAPULT	040	CRK	B	50,000	14.34	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	CTL	B	143,550	32.35	n/a	n/a	4,306.50	3.0
MTB INV ADV	034	DAN	B	10,250	10.74	n/a	29-Jul	410.00	4.0
PROSPECTOR PARTNERS LLC	036	FE	S	10,000	44.32	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	FTI	B	43,000	36.16	n/a	n/a	1,720.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		F	B	30,000	9.74		n/a 30-Sep	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>50.55</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
MERRILL ASSET/BLACKROCK	297	GCO	S	29,100	50.92	n/a	n/a	1,164.00	4.0
AVESTA CAP	229	HFC	S	50,000	26.62	n/a	n/a	1,500.00	3.0
RIDGECREST INV MGMT LLC	028	HNI	B	5,000	17.63	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	HPQ	S	10,000	22.76	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	025	HXL	SS	50,000	21.47	n/a	26-Sep	2,000.00	4.0
ADAGE CAPITAL MGMT	030	JCP	SS	54,580	27.00	n/a	28-Sep	1,637.40	3.0
APEX CAPITAL MGMT.	261	JCP	SS	98,000	26.22	n/a	28-Sep	3,920.00	4.0
PRIMECAP MGMT	084	JNJ	B	12,000	63.45	n/a	n/a	480.00	4.0
SIMMONS VENTURES	041	JNY	B	12,500	8.80	n/a	28-Jul	500.00	4.0
COUGAR TRADING	044	KSS	SS	2,500	49.50	n/a	28-Sep	125.00	5.0
ROSEDALE CAPITAL	046	LEA	B	10,000	42.68	n/a	5-Aug	500.00	5.0
NEWLAND CAPITAL MGT	025	MDR	S	10,000	11.42	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	MON	B	20,000	60.51	n/a	3-Oct	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	MPC	B	25,000	26.84	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	084	MSFT	B	100,000	24.78	n/a	n/a	4,000.00	4.0
ST OF MICHIAN	047	MS	B	320,000	12.70	n/a	27-Sep	9,600.00	3.0
ARMATURE CAPITAL	041	MWV	B	50,000	23.77	n/a	27-Jul	2,000.00	4.0
ADAGE CAPITAL MGMT	030	NDN	B	200,000	18.43	n/a	16-Sep	6,000.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	NDN	B	5,000	18.51	n/a	16-Sep	250.00	5.0
SMITH MGMT LLC	029	NDN	S	55,700	18.21	n/a	16-Sep	1,671.00	3.0
NEW JERSEY DIV OF INV.	030	NR	S	50,000	5.80	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	NWSA	S	200,000	15.49	n/a	n/a	8,000.00	4.0
AVESTA CAP	229	PAYX	C	50,000	26.32	n/a	n/a	1,500.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	SS	6,000	23.36	n/a	4-Aug	300.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	20,000	47.55	n/a	18-Aug	1,000.00	5.0
MOORE CAPITAL	041	PPDI	SS	25,000	32.59	n/a	n/a	750.00	3.0
PROSPECTOR PARTNERS LLC	036	PTP	S	5,000	30.38	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>56.47</b>	<b>n/a</b>	<b>1-Sep</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT	040	ROSE	B	50,000	32.74	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	ROST	S	10,000	77.15	n/a	28-Sep	500.00	5.0
AVESTA CAP	229	SBUX	S	50,000	36.45	n/a	3-Oct	1,500.00	3.0
CATAPULT	040	SFL	SS	25,000	12.10	n/a	n/a	1,000.00	4.0
LISTED ERR	099	SFL	B	2,500	12.01	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	SPR	B	26,400	15.91	n/a	5-Aug	1,056.00	4.0
COBALT	041	SWFT	S	442,392	6.05	n/a	n/a	8,847.84	2.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.96	n/a	n/a	800.00	4.0
ROYCE TRADING	031	TER	S	103,000	10.97	n/a	n/a	5,150.00	5.0
NEWLAND CAPITAL MGT	025	TNB	B	25,000	39.19	n/a	n/a	1,000.00	4.0
APEX CAPITAL MGMT.	261	TXT	SS	150,000	16.94	n/a	n/a	6,000.00	4.0
CATAPULT	040	VLO	S	12,500	17.31	n/a	n/a	500.00	4.0
PRIMECAP MGMT	084	V	B	17,000	85.21	n/a	24-Aug	680.00	4.0
KLEINHEINZ CAP PART	031	WFM	SS	40,000	62.56	n/a	n/a	2,000.00	5.0
SENATOR INVESTMENT GROUP	036	WMB	S	150,000	23.97	n/a	n/a	4,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	20,000	45.16	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	20,000	46.02	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	ZUMZ	B	5,000	16.98	n/a	n/a	200.00	4.0
<b>TOTAL (Trade Date):</b>							<b>122,077.71</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/30	MTB INV ADV (MTBISMSLEE)	034	CLB	B	12,000	90.40	n/a	21-Jul	600.00 5.0
AO,CRT	09/30	MTB INV ADV (MTBISMCAAP)	034	CLB	B	12,000	90.40	n/a	21-Jul	600.00 5.0
CRT	10/03	BNP PARIBAS SEC (BNPPMAIN)	040	MON	B	20,000	60.51	n/a	3-Oct	1000.00 5.0
AO,	09/29	HOLLIS CAPITAL (HOLLBS)	033	QEP	S	5,000	27.37	n/a	n/a	250.00 5.0
AO,CXL	09/30	SIMMONS VENTURES (SIMMJPM)	041	ZUMZ	B	5,000	17.98	n/a	n/a	250.00 5.0
AO,CRT	09/30	SIMMONS VENTURES (SIMMJPM)	041	ZUMZ	B	5,000	17.98	n/a	n/a	200.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,200.00</b>

TOTAL (Trade Date) :	122,077.71
TOTAL (AO, CXL, CRT) :	1,200.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>123,277.71</b>
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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