



## Daily Compliance Activity Report

Trade Date: 08/22/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	ACW	S	18,286	6.93	n/a	n/a	548.58	3.0
SANDLER O'NEILL ASSET	031	AF	B	50,000	9.32	n/a	21-Jul	2,500.00	5.0
ROYCE TRADING	012	AVX	B	5,000	11.76	n/a	n/a	250.00	5.0
ROYCE TRADING	012	CEF	S	60,000	26.22	n/a	n/a	3,000.00	5.0
ROYCE TRADING	012	FINL	B	6,000	16.81	n/a	24-Jun	300.00	5.0
ASCEND PARTNERS	033	FL	B	125,000	18.35	n/a	19-Aug	6,250.00	5.0
BASIX	033	FL	B	22,000	18.37	n/a	19-Aug	660.00	3.0
ELM RIDGE ADVISORS	044	IP	B	159,500	23.88	n/a	4-Aug	6,380.00	4.0
KLEINHEINZ CAP PART	031	LOW	B	40,000	19.83	n/a	15-Aug	2,000.00	5.0
SCOPUS FUND	041	PETM	S	77,277	39.32	n/a	n/a	3,091.08	4.0
ROYCE TRADING	012	PLCE	B	3,500	38.54	n/a	18-Aug	175.00	5.0
ROYCE TRADING	012	PLT	B	3,000	30.47	n/a	n/a	150.00	5.0
SMITH MGMT LLC	029	PSUN	S	200,000	2.01	n/a	n/a	8,000.00	4.0
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,500	40.80	n/a	n/a	300.00	4.0
JAT CAPITAL MANAGEMENT	041	SVU	B	50,700	6.89	n/a	n/a	1,521.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	TIF	SS	8,300	58.55	n/a	n/a	332.00	4.0
SCOPUS FUND	041	WRC	S	30,000	47.40	n/a	2-Aug	1,200.00	4.0
ROYCE TRADING	012	ZBRA	B	1,000	31.52	n/a	n/a	50.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>36,707.66</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/19	CONIFER/ISF (CONIISFJPM)	025	HPQ	B	10,000	23.47	n/a	n/a	400.00 4.0
AO,CXL	08/19	CONIFER/ISF (CONIISFRIP)	025	HPQ	B	10,000	23.47	n/a	n/a	400.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	36,707.66
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>36,707.66</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