



## Daily Compliance Activity Report

Trade Date: 09/08/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	AIMC	B	50,000	12.83	n/a	n/a	2,000.00	4.0
KAM ADVISORS LLC	041	BLL	C	68,700	35.01	n/a	n/a	2,061.00	3.0
JET CAPITAL/CHRIS	041	BP	B	35,000	37.30	n/a	n/a	1,050.00	3.0
FORTRESS INVESTMENT (US)	036	CAT	B	4,000	88.49	n/a	n/a	160.00	4.0
FORTRESS INVESTMENT (US)	036	CBE	B	5,000	47.22	n/a	n/a	200.00	4.0
JET CAPITAL/CHRIS	041	CCI	S	25,000	42.74	n/a	n/a	750.00	3.0
KAM ADVISORS LLC	041	CCK	S	78,100	33.87	n/a	n/a	2,343.00	3.0
PLATTE RIVER CAPITAL	240	CPB	B	29,660	31.61	n/a	n/a	1,186.40	4.0
ACK ASSET	028	CP	S	13,300	54.48	n/a	n/a	399.00	3.0
ELM RIDGE ADVISORS	044	CSCO	S	266,600	16.38	n/a	n/a	7,998.00	3.0
MERRILL ASSET/BLACKROCK	297	CYN	S	10,600	42.62	n/a	n/a	424.00	4.0
MACQUARIE INVESTMENT MGMT.	040	DKS	SS	5,000	33.76	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	EAT	SS	7,500	20.85	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	033	EL	B	50,000	98.33	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	F	SS	75,000	10.47	n/a	n/a	3,000.00	4.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	22.60	n/a	n/a	2,500.00	5.0
OZ MGMT	040	GM	SS	50,000	22.38	n/a	n/a	1,500.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	3,600	23.08	n/a	n/a	180.00	5.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	100,000	22.63	n/a	n/a	4,000.00	4.0
CAERUS GLOBAL	041	JNY	B	40,000	11.04	n/a	n/a	1,600.00	4.0
LATEFF MGMT	035	JPM	B	1,500	34.05	n/a	n/a	180.00	12.0
MACQUARIE INVESTMENT MGMT.	040	LULU	B	2,500	57.50	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MLI	S	21,287	45.30	n/a	n/a	851.48	4.0
PLATTE RIVER CAPITAL	240	MU	S	55,000	6.32	n/a	n/a	1,650.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	100,000	27.11	n/a	n/a	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>10,000</b>	<b>27.13</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
WEISS PECK	040	PAG	S	97,189	17.76	n/a	n/a	4,859.45	5.0
FORTRESS INVESTMENT (US)	036	PCAR	B	13,000	36.73	n/a	n/a	520.00	4.0
PRIMECAP MGMT	084	PSS	S	3,100	13.27	n/a	n/a	124.00	4.0
ROTHSCHILD ASSET	040	PXP	B	10,258	28.56	n/a	n/a	410.32	4.0
SCOPUS FUND	041	RKT	S	10,000	53.93	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JET CAPITAL/CHRIS	041	ROIC	B	20,000	11.26	n/a	n/a	600.00	3.0
PILOT ADV	041	RPM	B	15,000	19.25	n/a	n/a	450.00	3.0
FORTRESS INVESTMENT (US)	036	R	B	12,000	44.96	n/a	n/a	480.00	4.0
WEISS PECK	040	SDS	B	12,500	23.38	n/a	n/a	375.00	3.0
CHART WELL ADV	028	SKH	S	160,050	4.97	n/a	n/a	4,801.50	3.0
MACQUARIE INVESTMENT MGMT.	040	SMG	SS	2,500	47.61	n/a	n/a	0.00	0.0
ETON PARK CAPITAL	041	SPY	B	432,000	120.34	n/a	n/a	12,960.00	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.43	n/a	n/a	800.00	4.0
WEISS PECK	040	TBT	S	15,500	22.91	n/a	n/a	465.00	3.0
LATEFF MGMT	035	TCB	S	5,000	9.70	n/a	n/a	250.00	5.0
GRANITE CAPITAL	028	TGT	S	32,274	50.15	n/a	n/a	1,613.70	5.0
STELLIAM INV ADV	034	TIN	S	20,000	31.00	n/a	n/a	1,000.00	5.0
MERCHANTS GATE CAP LP	036	VFC	SS	25,000	118.60	n/a	n/a	1,000.00	4.0
BNP PARIBAS SEC	040	WRC	B	10,000	50.16	n/a	n/a	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	WSM	B	1,500	31.58	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CLOVIS CAPITAL	033	XRX	B	150,000	7.86	n/a	n/a	4,500.00	3.0
<b>TOTAL (Trade Date):</b>								<b>76,941.85</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									76,941.85
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									76,941.85
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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