



## Daily Compliance Activity Report

Trade Date: 08/17/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AGCO	SS	5,000	40.13	n/a	29-Jul	150.00	3.0
CASTLE ARK	031	AGN	B	81,060	75.67	n/a	17-Aug	4,053.00	5.0
SANDLER CAPITAL	028	ALTR	S	215,000	37.22	n/a	n/a	8,600.00	4.0
HIGHBRIDGE CAP	041	ANN	SS	48,000	20.74	n/a	n/a	1,440.00	3.0
ARMATURE CAPITAL	041	AXL	B	100,000	9.43	n/a	1-Aug	4,000.00	4.0
BALLAST CAP	040	BGC	S	13,500	29.80	n/a	n/a	675.00	5.0
BALLAST CAP	040	CCK	S	6,000	35.77	n/a	n/a	300.00	5.0
EATON VANCE MGMT	029	CMCSA	S	75,000	21.17	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	COF	S	10,000	44.29	n/a	17-Aug	500.00	5.0
HARVEST MGMT	029	COST	SS	7,500	76.18	n/a	n/a	300.00	4.0
BALLAST CAP	040	COV	S	20,200	51.01	n/a	n/a	1,010.00	5.0
SURVEYOR CAPITAL	041	COV	B	45,000	51.01	n/a	n/a	1,350.00	3.0
HIGHBRIDGE CAP	041	CTSH	SS	5,000	62.57	n/a	n/a	150.00	3.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	7.67	n/a	n/a	2,000.00	4.0
FORWARD MGMT	033	CVGI	S	15,400	7.76	n/a	n/a	616.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	029	CVS	S	75,000	34.36	n/a	n/a	2,250.00	3.0
BNP PARIBAS SEC	040	DDS	B	35,000	44.85	n/a	n/a	1,750.00	5.0
DENVER INST. ADV	046	ENDP	S	65,855	31.85	n/a	17-Aug	2,634.20	4.0
TOCQUEVILLE	035	ES	S	360,239	3.47	n/a	n/a	10,807.17	3.0
HARVEST MGMT	029	FDO	B	10,000	50.41	n/a	1-Jul	400.00	4.0
OZ MGMT	040	FL	B	150,000	19.46	n/a	2-Aug	4,500.00	3.0
TUDOR INVESTORS	028	FL	B	25,000	18.93	n/a	2-Aug	750.00	3.0
HIGHBRIDGE CAP	041	HAS	SS	26,573	37.68	n/a	n/a	797.19	3.0
HIGHBRIDGE CAP	041	INFY	SS	10,000	54.19	n/a	n/a	300.00	3.0
CAERUS GLOBAL	041	JAH	SS	3,800	29.66	n/a	n/a	152.00	4.0
DELTEC ASSET MGMT.	040	JCI	S	12,000	32.67	n/a	8-Aug	600.00	5.0
HIGHBRIDGE CAP	041	JCP	SS	10,000	26.13	n/a	12-Aug	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	100,000	10.53	n/a	28-Jul	4,000.00	4.0
BMO NESBITT BURNS	041	LOW	S	7,000	20.02	n/a	15-Aug	350.00	5.0
HARVEST MGMT	029	LOW	B	25,000	20.07	n/a	15-Aug	1,000.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	B	4,000	34.01	n/a	n/a	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	029	MCD	S	50,000	86.78	n/a	8-Aug	1,500.00	3.0
DAVIDSON KEMPNER ADVISOR	040	MT	SS	50,000	22.31	n/a	n/a	2,500.00	5.0
HARVEST MGMT	029	M	SS	20,500	24.51	n/a	11-Aug	820.00	4.0
BNP PARIBAS SEC	040	PCAR	B	10,000	38.39	n/a	27-Jul	500.00	5.0
GEORGE WEISS	034	RAH	B	9,000	83.38	n/a	n/a	360.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	B	2,900	24.85	n/a	n/a	145.00	5.0
MACQUARIE INVESTMENT MGMT.	040	SKS	S	10,000	8.90	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	040	SPLS	S	100,000	14.39	n/a	n/a	5,000.00	5.0
BASIX	033	SPR	B	62,000	15.70	n/a	5-Aug	1,860.00	3.0
BMO NESBITT BURNS	041	TGT	B	3,000	50.83	n/a	17-Aug	150.00	5.0
EATON VANCE MGMT	029	TGT	S	50,000	50.35	n/a	17-Aug	1,500.00	3.0
MADISON ST PARTNERS LLC	046	TGT	S	70,900	51.96	n/a	17-Aug	3,545.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	B	4,700	54.05	n/a	17-Aug	235.00	5.0
HARVEST MGMT	029	WAG	SS	15,000	35.96	n/a	n/a	600.00	4.0
HIGHBRIDGE CAP	041	WMT	SS	10,000	51.69	n/a	17-Aug	300.00	3.0
BNP PARIBAS SEC	040	WRC	B	20,000	50.48	n/a	2-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WWD	B	38,500	29.81	n/a	n/a	1,540.00	4.0
HOLLIS CAPITAL	033	YUM	S	5,000	51.45	n/a	10-Aug	250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>79,989.56</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/17	COUGAR TRADING (COUGPB MS)	044	COF	S	10,000	44.29	n/a	17-Aug	500.00 5.0
AO,CXL	08/16	OSKIE CAPITAL MGMT (OSKIGSPB)	224	HBAN	B	20,000	5.11	n/a	n/a	1000.00 5.0
AO,CRT	08/16	OSKIE CAPITAL MGMT (OSKIGSPB)	224	HBAN	B	20,000	5.11	n/a	n/a	600.00 3.0
CRT	08/17	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	JNY	B	100,000	10.53	n/a	28-Jul	4000.00 4.0

**TOTAL (AO, CXL, CRT) :****4,100.00**

TOTAL (Trade Date) :

79,989.56

TOTAL (AO, CXL, CRT) :

4,100.00

**TOTAL (RUN DATE) / NFS:****84,089.56**

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