

Daily Compliance Activity Report Trade Date: 09/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

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I	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
F	ROYCE TRADING	031	AEO	В	5,000	11.36	n/a	25-Aug	250.00	5.0
C	CASTLEROCK	040	ALB	SS	28,459	46.06	n/a	n/a	1,138.36	4.0
Ι	LATEFF MGMT	035	ALL	В	500	24.74	n/a	n/a	50.00	10.0
N	MERRILL ASSET/BLACKROCK	297	ANR	В	23,000	28.02	n/a	n/a	920.00	4.0
N	MERRILL ASSET/BLACKROCK	297	ARCO	S	15,400	27.62	n/a	9-Sep	616.00	4.0
F	ROYCE TRADING	031	AVX	В	5,000	12.18	n/a	n/a	250.00	5.0
F	HIGHBRIDGE CAP	041	BBBY	S	17,500	59.90	n/a	n/a	525.00	3.0
(COBALT	041	BEAV	В	100,000	33.80	n/a	14-Sep	4,000.00	4.0
C	COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	2,000.00	4.0
I	LISTED ERR	099	BZ	В	1,000	6.68	n/a	n/a	0.00	0.0
I	LISTED ERR	099	BZ	S	1,000	6.60	n/a	n/a	0.00	0.0
N	MACQUARIE INVESTMENT MGMT	. 040	CAG	SS	5,000	22.94	n/a	n/a	0.00	0.0
9	SCOPUS FUND	041	CAT	S	9,000	83.94	n/a	14-Sep	360.00	4.0
Ι	LATEFF MGMT	035	CBL	В	1,000	13.68	n/a	n/a	100.00	10.0
C	CHESAPEAKE PARTNERS	028	CCI	S	5,000	44.25	n/a	n/a	150.00	3.0

Ac	count	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
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HI	GHBRIDGE CAP	041	COH	В	5,000	60.12	n/a	3-Aug	150.00	3.0
JE	TSTREAM GLOBAL FUND LP	065	CRM	В	16,000	131.82	n/a	n/a	800.00	5.0
HI	GHBRIDGE CAP	041	DKS	В	8,000	35.38	n/a	16-Aug	240.00	3.0
BA	LYASNY ASSET MGMT	044	ELN	В	75,000	9.90	n/a	n/a	3,000.00	4.0
TH	E JAY GOLDMAN	028	EXPR	S	19,860	21.05	n/a	n/a	794.40	4.0
BR	ONSON POINT	036	FTR	SS	25 , 000	6.94	n/a	n/a	750.00	3.0
RO	SEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2,500.00	5.0
LE)	VIN CAPITAL STRATEGIES	041	GM	В	10,000	22.79	n/a	2-Sep	300.00	3.0
OZ	MGMT	040	GM	SS	75,000	22.63	n/a	2-Sep	2,250.00	3.0
TR	OUBH PART	070	GM	S	25,000	22.75	n/a	2-Sep	1,250.00	5.0
BU	CK CAPITAL MGMT	001	HBI	В	20,000	27.34	n/a	21-Jul	600.00	3.0
CA'	TAPULT CAP/DEFRANCO	040	HBI	SS	9,130	27.74	n/a	21-Jul	365.20	4.0
	MMONS VENTURES	041	HBI	В	7,500	27.52	n/a	21-Jul	300.00	4.0
ME	RRILL ASSET/BLACKROCK	297	HNZ	В	19,700	50.81	n/a	n/a	788.00	4.0
NO:	RTHWESTERN MUTUAL LIFE	047	HYG	В	131,300	86.90	n/a	n/a	2,626.00	2.0
NO:	RTHWESTERN MUTUAL LIFE	047	JNK	В	434,500	38.17	n/a	n/a	8,690.00	2.0
LA	TEFF MGMT	035	JPM	В	500	32.56	n/a	15-Sep	50.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
MACQUARIE INVESTMENT MGMT	. 040	KEG	В	10,000	12.46	n/a	20-Sep	0.00	0.0
LATEFF MGMT	035	KMB	S	150	70.77	n/a	25-Jul	37.50	25.0
THE JAY GOLDMAN	028	KSS	В	30,000	47.16	n/a	2-Sep	1,200.00	4.0
LATEFF MGMT	035	LOW	В	750	20.29	n/a	15-Aug	75.00	10.0
CATAPULT	040	MAT	В	8,000	27.08	n/a	n/a	320.00	4.0
RBC CAPITAL MARKETS	040	MPEL	В	50,000	11.58	n/a	13-Jun	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	MS	S	147,600	15.25	n/a	15-Sep	7,380.00	5.0
HIGHBRIDGE CAP THE JAY GOLDMAN	041	M M	B SS	28,000 50,000	27.32 27.54	n/a n/a	2-Sep 2-Sep	840.00	3.0
SMITH MGMT LLC	029	NDN	S	85,000	20.16	n/a	16-Sep	2,550.00	3.0
SF SENTRY	085	NP	В	15,000	15.56	n/a	20-Sep	750.00	5.0
LATEFF MGMT	035	NYB	В	500	12.80	n/a	18-Aug		10.0
LATEFF MGMT	035	OLN	В	250	19.87	n/a	n/a		14.0
SCOPUS FUND	041	PVH	SS	7 , 900	65.65	n/a	1-Sep	316.00	4.0
FORWARD MGMT	033	RAS	S	20,000	3.87	n/a	n/a	800.00	4.0
MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	3,133.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
HIGHBRIDGE CAP	041	ROST	S	10,500	80.80	n/a	n/a	315.00	3.0
LATEFF MGMT	035	SFG	S	250	28.01	n/a	n/a	37.50	15.0
FORWARD MGMT	033	SFI	S	40,000	6.96	n/a	n/a	1,600.00	4.0
CASTLEROCK	040	SMG	SS	22,980	45.61	n/a	9-Aug	919.20	4.0
LATEFF MGMT	035	SPLS	В	350	14.53	n/a	n/a	35.00	10.0
MACQUARIE INVESTMENT MGMT	. 040	SWN	В	5,000	39.13	n/a	14-Sep	0.00	0.0
LATEFF MGMT	035	TCB	S	700	9.90	n/a	n/a	70.00	10.0
LATEFF MGMT	035	TEVA	В	225	37.00	n/a	19-Sep	45.00	20.0
HIGHBRIDGE CAP	041	TIF	В	7,000	77.11	n/a	n/a	210.00	3.0
RBC CAPITAL MARKETS	040	TIN	В	34,396	31.29	n/a	13-Sep	1,375.84	4.0
TALPION LLC	040	TJX	S	5,000	57.08	n/a	2-Sep	200.00	4.0
THE JAY GOLDMAN	028	TJX	SS	110,000	59.26	n/a	2-Sep	4,400.00	4.0
MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00	5.0
HIGHFIELDS CAP MGMT	030	WFC	В	100,000	25.05	n/a	15-Sep	5,000.00	5.0
SANDLER CAPITAL	028	WFM	S	48,000	71.45	n/a	n/a	2,400.00	5.0
CASTLEROCK	040	WHR	SS	19,960	52.71	n/a	n/a	798.40	4.0
	HIGHBRIDGE CAP LATEFF MGMT FORWARD MGMT CASTLEROCK LATEFF MGMT MACQUARIE INVESTMENT MGMT LATEFF MGMT LATEFF MGMT HIGHBRIDGE CAP RBC CAPITAL MARKETS TALPION LLC THE JAY GOLDMAN MTB INV ADV HIGHFIELDS CAP MGMT SANDLER CAPITAL	HIGHBRIDGE CAP LATEFF MGMT CASTLEROCK LATEFF MGMT 035 MACQUARIE INVESTMENT MGMT. 040 LATEFF MGMT 035 LATEFF MGMT 035 LATEFF MGMT 035 HIGHBRIDGE CAP 041 RBC CAPITAL MARKETS 040 TALPION LLC TALPION LLC THE JAY GOLDMAN 028 MTB INV ADV HIGHFIELDS CAP MGMT 030 SANDLER CAPITAL 028	HIGHBRIDGE CAP LATEFF MGMT CASTLEROCK LATEFF MGMT CASTLEROCK LATEFF MGMT MACQUARIE INVESTMENT MGMT. 040 LATEFF MGMT CASTLEROCK MACQUARIE INVESTMENT MGMT. 040 LATEFF MGMT CASTLEROCK MACQUARIE INVESTMENT MGMT. 040 SWN LATEFF MGMT CASTLEROCK CAS	HIGHBRIDGE CAP 041 ROST S LATEFF MGMT 035 SFG S FORWARD MGMT 033 SFI S CASTLEROCK 040 SMG SS LATEFF MGMT 035 SPLS B MACQUARIE INVESTMENT MGMT. 040 SWN B LATEFF MGMT 035 TCB S LATEFF MGMT 035 TCB S LATEFF MGMT 035 TEVA B HIGHBRIDGE CAP 041 TIF B RBC CAPITAL MARKETS 040 TIN B TALPION LLC 040 TJX S THE JAY GOLDMAN 028 TJX SS MTB INV ADV 034 TZOO S HIGHFIELDS CAP MGMT 030 WFC B SANDLER CAPITAL 028 WFM S	HIGHBRIDGE CAP 041 ROST S 10,500 LATEFF MGMT 035 SFG S 250 FORWARD MGMT 033 SFI S 40,000 CASTLEROCK 040 SMG SS 22,980 LATEFF MGMT 035 SPLS B 350 MACQUARIE INVESTMENT MGMT. 040 SWN B 5,000 LATEFF MGMT 035 TCB S 700 LATEFF MGMT 035 TEVA B 225 HIGHBRIDGE CAP 041 TIF B 7,000 RBC CAPITAL MARKETS 040 TIN B 34,396 TALPION LLC 040 TJX S 5,000 THE JAY GOLDMAN 028 TJX SS 110,000 MTB INV ADV 034 TZOO S 7,000 HIGHFIELDS CAP MGMT 030 WFC B 100,000 SANDLER CAPITAL 028 WFM S 48,000	HIGHBRIDGE CAP 041 ROST S 10,500 80.80 LATEFF MGMT 035 SFG S 250 28.01 FORWARD MGMT 033 SFI S 40,000 6.96 CASTLEROCK 040 SMG SS 22,980 45.61 LATEFF MGMT 035 SPLS B 350 14.53 MACQUARIE INVESTMENT MGMT. 040 SWN B 5,000 39.13 LATEFF MGMT 035 TCB S 700 9.90 LATEFF MGMT 035 TEVA B 225 37.00 HIGHBRIDGE CAP 041 TIF B 7,000 77.11 RBC CAPITAL MARKETS 040 TIN B 34,396 31.29 TALPION LLC 040 TJX S 5,000 57.08 THE JAY GOLDMAN 028 TJX SS 110,000 59.26 MTB INV ADV 034 TZOO S 7,000 29.93 HIGHFIELDS CAP MGMT 030 WFC B 100,000 25.05 SANDLER CAPITAL 028 WFM S 48,000 71.45	HIGHBRIDGE CAP 041 ROST S 10,500 80.80 n/a LATEFF MGMT 035 SFG S 250 28.01 n/a FORWARD MGMT 033 SFI S 40,000 6.96 n/a CASTLEROCK 040 SMG SS 22,980 45.61 n/a LATEFF MGMT 035 SPLS B 350 14.53 n/a MACQUARIE INVESTMENT MGMT. 040 SWN B 5,000 39.13 n/a LATEFF MGMT 035 TCB S 700 9.90 n/a LATEFF MGMT 035 TEVA B 225 37.00 n/a HIGHBRIDGE CAP 041 TIF B 7,000 77.11 n/a REC CAPITAL MARKETS 040 TIN B 34,396 31.29 n/a TALPION LLC 040 TJX S 5,000 57.08 n/a THE JAY GOLDMAN 028 TJX SS 110,000 59.26 n/a MTB INV ADV 034 TZOO S 7,000 29.93 n/a HIGHFIELDS CAP MGMT 030 WFC B 100,000 25.05 n/a SANDLER CAPITAL 028 WFM S 48,000 71.45 n/a	HIGHBRIDGE CAP 041 ROST S 10,500 80.80	HIGHBRIDGE CAP 041 ROST S 10,500 80.80 n/a n/a 315.00 LATEFF MGMT 035 SFG S 250 28.01 n/a n/a 37.50 FORWARD MGMT 033 SFT S 40,000 6.96 n/a n/a 1,600.00 CASTLEROCK 040 SMG SS 22,980 45.61 n/a 9-Aug 919.20 LATEFF MGMT 035 SPLS B 350 14.53 n/a n/a 35.00 MACQUARIE INVESTMENT MCMT. 040 SWN B 5,000 39.13 n/a 14-Sep 0.00 LATEFF MCMT 035 TCB S 700 9.90 n/a n/a 19-Sep 45.00 HIGHBRIDGE CAP 041 TIF B 7,000 77.11 n/a n/a 210.00 RBC CAPITAL MARKETS 040 TIN B 34,396 31.29 n/a 13-Sep 1,375.84 TALPION LLC 040 TJX S 5,000 57.08 n/a 2-Sep 200.00 THE JAY COLDMAN 028 TJX SS 110,000 59.26 n/a 2-Sep 4,400.00 NTB INV ADV 034 TZOO S 7,000 29.93 n/a n/a 350.00 HIGHFIELDS CAP MGMT 030 WFC B 100,000 25.05 n/a 15-Sep 5,000.00 SANDLER CAPITAL 028 WFM S 48,000 71.45 n/a 15-Sep 5,000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
GEORGE WEISS	034	YUM	S	8,000	55.43	n/a	10-Aug	320.00 4.0
TUDOR INVESTORS	028	ZUMZ	SS	25 , 000	19.13	n/a	n/a	750.00 3.0

TOTAL (Trade Date): 76,126.15

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
CRT	09/20	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	50,000	10.53	n/a	2-Sep	2500.00	5.0
TOTAL	(AO,	CXL, CRT):							2,	500.00	
TOTAL	(Trad	e Date):							76,	126.15	
TOTAL	(AO,	CXL, CRT):							2,	500.00	
Т ОТ Δ Т.	(RUN	DATE) / NFS:							78	626.15	

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