



Daily Compliance Activity Report

Trade Date: 09/01/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SHEFFIELD ASSET MGMT	031	AEO	B	345,000	11.01	n/a	25-Aug	10,350.00	3.0
CASTLEROCK	040	ANF	SS	26,061	63.17	n/a	18-Aug	1,042.44	4.0
CHALSON/MILLENIUM	041	ANF	S	15,000	63.48	n/a	18-Aug	600.00	4.0
HIGHBRIDGE CAP	041	ANN	SS	11,000	23.46	n/a	n/a	330.00	3.0
JP MORGAN VENTURES	046	ASNA	S	23,000	28.36	n/a	n/a	920.00	4.0
HIGHBRIDGE CAP	041	BBY	SS	10,000	25.52	n/a	n/a	300.00	3.0
APEX CAPITAL MGMT.	261	BDX	SS	4,700	80.99	n/a	n/a	188.00	4.0
APEX CAPITAL MGMT.	261	BID	B	16,400	37.33	n/a	n/a	656.00	4.0
ASCEND PARTNERS	033	BIG	B	50,000	33.47	n/a	25-Aug	1,500.00	3.0
ROYCE TRADING	031	BKE	B	500	39.71	n/a	n/a	25.00	5.0
APEX CAPITAL MGMT.	261	BWA	SS	4,400	71.80	n/a	29-Jul	176.00	4.0
KACELA CAPITAL	034	CA	SS	110,000	20.87	n/a	n/a	4,400.00	4.0
Õ Doug Rogers		CPN	S	78	14.7600	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	78	14.7600	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	82	14.7700	n/a	n/a	0.00	0.0
BRONSON POINT	036	DIS	SS	25,000	34.02	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	DXCM	B	15,500	11.95	n/a	n/a	620.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	52.95	n/a	1-Sep	500.00	5.0
Õ Doug Rogers		FOR	S	169	12.1120	n/a	9-Aug	0.00	0.0
Õ Doug Rogers		FOR	S	500	12.1140	n/a	9-Aug	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	S	40,000	10.96	n/a	31-Aug	1,200.00	3.0
BUCK CAPITAL MGMT	001	GCO	S	5,098	51.83	n/a	n/a	152.94	3.0
APEX CAPITAL MGMT.	261	GILD	B	17,100	39.80	n/a	n/a	684.00	4.0
ASCEND PARTNERS	033	GIS	S	25,000	37.88	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	23.33	n/a	31-Aug	2,500.00	5.0
OZ MGMT	040	GM	C	62,432	23.39	n/a	31-Aug	1,872.96	3.0
OZ MGMT	040	GM	SS	50,000	23.75	n/a	31-Aug	1,500.00	3.0
PHILADELPHIA FINANCIAL	033	GM	C	178,863	23.85	n/a	31-Aug	7,154.52	4.0
HIGHBRIDGE CAP	041	GPS	SS	31,000	16.05	n/a	n/a	930.00	3.0
FRIESS MGMT	033	GSM	S	49,600	16.60	n/a	n/a	1,984.00	4.0
APEX CAPITAL MGMT.	261	HNZ	SS	4,100	52.46	n/a	n/a	164.00	4.0
CHALSON/MILLENIUM	041	HOT	B	10,000	44.39	n/a	13-Jun	400.00	4.0
APEX CAPITAL MGMT.	261	IPI	SS	3,900	34.25	n/a	n/a	156.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	ITW	SS	4,600	45.74	n/a	27-Jul	184.00	4.0
HIGHBRIDGE CAP	041	JCP	SS	9,500	26.66	n/a	29-Aug	285.00	3.0
SANDLER O'NEILL ASSET	031	JPM	S	100,000	36.99	n/a	31-Aug	5,000.00	5.0
APEX CAPITAL MGMT.	261	JWN	B	15,900	44.97	n/a	29-Aug	636.00	4.0
HIGHBRIDGE CAP	041	KMX	SS	18,000	27.14	n/a	n/a	540.00	3.0
RIDGECREST INV MGMT LLC	028	KSS	B	15,000	45.21	n/a	29-Aug	750.00	5.0
Õ Doug Rogers		LGND	B	1000	15.0520	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	500	15.0090	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	LLY	SS	16,900	37.37	n/a	n/a	676.00	4.0
TUDOR INVESTORS	028	LULU	B	12,500	54.33	n/a	10-Jun	375.00	3.0
APEX CAPITAL MGMT.	261	MDY	SS	4,900	158.18	n/a	n/a	98.00	2.0
CHALSON/MILLENIUM	041	MGM	B	10,000	11.14	n/a	13-Jun	400.00	4.0
Õ Doug Rogers		MIRANT	B	5000	96.7000	n/a	n/a	0.00	0.0
Õ Doug Rogers		MIRANT	B	5000	96.7000	n/a	n/a	0.00	0.0
Õ Doug Rogers		MIRANT	??	5000	96.7000	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	MMYT	B	13,900	19.23	n/a	n/a	556.00	4.0
CAMBIAR CAP	046	NAV	B	125,073	41.05	n/a	10-Aug	5,002.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	NFLX	B	4,600	235.57	n/a	n/a	184.00	4.0
FARALLON CAP MGMT	040	NOK	SS	75,000	6.64	n/a	n/a	1,500.00	2.0
BNP PARIBAS SEC	040	OXM	SS	25,000	38.65	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	OXM	S	60,000	38.20	n/a	n/a	1,800.00	3.0
M&I FUNDS	047	PEP	S	6,000	64.28	n/a	n/a	240.00	4.0
M&I FUNDS	047	PERY	B	35,092	22.61	n/a	n/a	1,403.68	4.0
M&I FUNDS	047	PKG	S	10,000	25.27	n/a	4-Aug	400.00	4.0
CHALSON/MILLENIUM	041	PVH	B	8,000	67.24	n/a	1-Sep	320.00	4.0
HIGHBRIDGE CAP	041	PVH	S	3,750	67.20	n/a	1-Sep	112.50	3.0
APEX CAPITAL MGMT.	261	RAD	B	193,100	1.11	n/a	n/a	1,931.00	1.0
APEX CAPITAL MGMT.	261	RL	SS	3,700	136.64	n/a	11-Aug	148.00	4.0
CHALSON/MILLENIUM	041	ROST	S	10,000	76.46	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	261	SCLN	B	18,000	4.59	n/a	n/a	360.00	2.0
APEX CAPITAL MGMT.	261	SINA	B	4,400	106.54	n/a	n/a	176.00	4.0
CHALSON/MILLENIUM	041	SJM	B	10,000	72.07	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	261	SLB	B	3,900	77.72	n/a	n/a	156.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WALL STREET CAPITAL	084	SSI	S	9,200	15.83	n/a	n/a	414.00	4.5
BALLAST CAP	040	STZ	SS	16,700	19.36	n/a	n/a	835.00	5.0
HIGHBRIDGE CAP	041	TGT	B	10,000	52.06	n/a	1-Sep	300.00	3.0
ASCEND PARTNERS	033	TIN	S	25,000	25.31	n/a	4-Aug	1,000.00	4.0
APEX CAPITAL MGMT.	261	TIVO	B	107,200	10.92	n/a	n/a	4,288.00	4.0
APEX CAPITAL MGMT.	261	TMO	B	14,400	54.86	n/a	n/a	576.00	4.0
APEX CAPITAL MGMT.	261	TNC	SS	400	43.12	n/a	n/a	16.00	4.0
LEVIN CAPITAL STRATEGIES	041	UPS	S	5,000	66.68	n/a	n/a	150.00	3.0
CHALSON/MILLENIUM	041	URBN	B	25,000	25.99	n/a	n/a	1,000.00	4.0
APEX CAPITAL MGMT.	261	VRX	B	4,700	44.46	n/a	n/a	188.00	4.0
CHALSON/MILLENIUM	041	WEN	S	15,000	5.02	n/a	12-Aug	600.00	4.0
APEX CAPITAL MGMT.	261	WRLD	SS	3,900	64.37	n/a	n/a	156.00	4.0
TOTAL (Trade Date):								76,612.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/30	BMO NESBITT BURNS (BMONFLIP)	041	BIG	B	3,000	33.70	n/a	25-Aug	150.00 5.0
AO,CRT	08/30	BMO NESBITT BURNS (BMONFLIP)	041	BIG	B	3,000	33.70	n/a	25-Aug	210.00 7.0
AO,CXL	08/30	BMO NESBITT BURNS (BMONFLIP)	041	DG	B	3,000	35.70	n/a	30-Aug	150.00 5.0
AO,CRT	08/30	BMO NESBITT BURNS (BMONFLIP)	041	DG	B	3,000	35.70	n/a	30-Aug	210.00 7.0
AO,CXL	08/30	BMO NESBITT BURNS (BMONFLIP)	041	FDO	SS	2,000	50.82	n/a	1-Jul	100.00 5.0
AO,CRT	08/30	BMO NESBITT BURNS (BMONFLIP)	041	FDO	SS	2,000	50.82	n/a	1-Jul	140.00 7.0
AO,CXL	08/30	BMO NESBITT BURNS (BMONFLIP)	041	FRED	SS	2,000	11.17	n/a	n/a	100.00 5.0
AO,CRT	08/30	BMO NESBITT BURNS (BMONFLIP)	041	FRED	SS	2,000	11.17	n/a	n/a	140.00 7.0
TOTAL (AO, CXL, CRT) :										200.00

TOTAL (Trade Date):	76,612.96
TOTAL (AO, CXL, CRT):	200.00

TOTAL (RUN DATE) / NFS:	76,812.96
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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