



## Daily Compliance Activity Report

Trade Date: 09/09/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AAP	C	25,000	60.46	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	025	AIMC	B	15,000	12.67	n/a	n/a	600.00	4.0
BRONSON POINT	036	AMCX	SS	30,000	32.54	n/a	n/a	900.00	3.0
BALYASNY ASSET MGMT	044	BBY	SS	20,300	24.30	n/a	n/a	1,015.00	5.0
JET CAPITAL/CHRIS	041	CCI	B	20,000	42.18	n/a	n/a	600.00	3.0
BALYASNY ASSET MGMT	044	CHS	SS	15,000	13.06	n/a	5-Feb	750.00	5.0
BRIGADE CAPITAL MGMT	029	CLNE	S	50,000	13.41	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	CROX	B	25,000	25.35	n/a	n/a	1,250.00	5.0
CASTLEROCK	040	C	S	290,874	27.48	n/a	24-Aug	11,634.96	4.0
Õ Doug Rogers		FOR	S	200	11.2540	n/a	9-Aug	0.00	0.0
Õ Doug Rogers		FOR	S	400	11.2500	n/a	9-Aug	0.00	0.0
Õ Doug Rogers		FOR	S	400	11.2580	n/a	9-Aug	0.00	0.0
HUNTER GLOBAL INVESTOR	028	F	SS	197,000	10.16	n/a	2-Sep	5,910.00	3.0
LEVIN CAPITAL STRATEGIES	041	GES	SS	5,000	30.04	n/a	25-Aug	150.00	3.0
HUNTER GLOBAL INVESTOR	028	GM	SS	90,000	22.25	n/a	2-Sep	4,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	B	50,000	21.68	n/a	2-Sep	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	25,000	21.84	n/a	2-Sep	1,000.00	4.0
BALYASNY ASSET MGMT	044	GNC	B	20,000	23.76	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	HD	S	50,000	31.66	n/a	16-Aug	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	70,000	26.27	n/a	6-Sep	3,500.00	5.0
ELM RIDGE ADVISORS	044	IP	B	90,700	26.47	n/a	6-Sep	3,628.00	4.0
CAERUS GLOBAL	041	JNY	B	25,000	10.63	n/a	28-Jul	1,000.00	4.0
ADAGE CAPITAL MGMT	030	JWN	SS	120,000	44.85	n/a	2-Sep	3,600.00	3.0
LATEFF MGMT	035	KMB	S	100	66.94	n/a	25-Jul	30.00	30.0
Õ Doug Rogers		LGND	B	100	15.0200	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	100	15.0300	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	141	15.0280	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	145	15.0380	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	23	15.0200	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	30	15.0100	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	400	15.0380	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	61	15.0280	n/a	n/a	0.00	0.0
DC CAPITAL	044	LPX	B	50,000	5.98	n/a	5-Aug	2,000.00	4.0
BALYASNY ASSET MGMT	044	MGA	B	25,000	35.28	n/a	n/a	1,250.00	5.0
KLEINHEINZ CAP PART	031	M	S	50,000	25.13	n/a	2-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	NDN	B	50,000	18.60	n/a	22-Aug	2,500.00	5.0
NEWLAND CAPITAL MGT	025	NDSN	SS	15,000	40.98	n/a	n/a	600.00	4.0
CYPRESS CAP MGMT LLC	040	NYT	S	38,700	7.16	n/a	n/a	1,548.00	4.0
BALYASNY ASSET MGMT	044	ODP	B	10,000	2.37	n/a	n/a	300.00	3.0
SONTERRA CAP	041	OSK	B	41,398	17.02	n/a	n/a	1,655.92	4.0
BALYASNY ASSET MGMT	044	PLCE	B	20,000	41.70	n/a	18-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>20,000</b>	<b>135.87</b>	<b>n/a</b>	<b>11-Aug</b>	<b>600.00</b>	<b>3.0</b>
TUDOR INVESTORS	028	SBUX	B	25,000	37.50	n/a	29-Jul	750.00	3.0
MELLON/BANK OF NEW YORK	046	SD	S	1,169,490	6.89	n/a	n/a	46,779.60	4.0
TALPION LLC	040	SODA	S	4,300	39.37	n/a	n/a	172.00	4.0
ROARING BLUE LION MGMT	031	SSI	B	7,800	13.97	n/a	n/a	312.00	4.0
BASIX	033	TEX	S	20,000	13.48	n/a	22-Jul	600.00	3.0
CYPRESS CAP MGMT LLC	040	TGT	S	16,300	49.84	n/a	1-Sep	652.00	4.0
GALT INVESTMENT	041	TITN	B	15,000	21.66	n/a	n/a	750.00	5.0
NEWLAND CAPITAL MGT	025	TNB	S	300	42.08	n/a	n/a	12.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	TSO	SS	50,000	23.69	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	VFC	B	20,000	115.57	n/a	22-Jul	1,000.00	5.0
BALYASNY ASSET MGMT	044	VSI	C	18,000	39.90	n/a	n/a	900.00	5.0
ADAGE CAPITAL MGMT	030	WMT	B	150,000	51.37	n/a	25-Aug	4,500.00	3.0
BALYASNY ASSET MGMT	044	WRC	SS	25,000	50.48	n/a	2-Aug	1,250.00	5.0
BNP PARIBAS SEC	040	WRC	B	10,000	48.94	n/a	2-Aug	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>49.24</b>	<b>n/a</b>	<b>2-Aug</b>	<b>300.00</b>	<b>3.0</b>
<b>TOTAL (Trade Date) :</b>								<b>121,249.48</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/08	CLOVIS CAPITAL (CLOVGOLDMA)	033	EL	B	50,000	98.33	n/a	16-Aug	1500.00 3.0
AO,CRT	09/08	CLOVIS CAPITAL (CLOVGOLDMA)	033	EL	B	50,000	98.33	n/a	16-Aug	2500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,000.00</b>
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TOTAL (Trade Date) :	121,249.48
TOTAL (AO, CXL, CRT) :	1,000.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>122,249.48</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