



Daily Compliance Activity Report

Trade Date: 10/04/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ø Abram Chappel		AAPL	B	13368.7600		n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ABCO	S	26,880	59.11	n/a	n/a	1,075.20	4.0
MERRILL ASSET/BLACKROCK	297	AKR	B	5,000	17.65	n/a	n/a	200.00	4.0
APEX CAPITAL MGMT.	261	APEI	SS	1,313	32.88	n/a	n/a	52.52	4.0
APEX CAPITAL MGMT.	261	ARCO	B	10,600	22.13	n/a	3-Oct	424.00	4.0
COUGAR TRADING	044	ARCO	S	5,000	20.99	n/a	3-Oct	250.00	5.0
SCOUT/UMB	047	ATI	S	45,805	31.47	n/a	n/a	1,832.20	4.0
APEX CAPITAL MGMT.	261	ATVI	SS	49,200	11.77	n/a	n/a	1,968.00	4.0
SANDLER O'NEILL ASSET	031	AXP	B	45,000	41.88	n/a	28-Sep	2,250.00	5.0
APEX CAPITAL MGMT.	261	BDX	SS	4,700	70.78	n/a	n/a	188.00	4.0
BMO NESBITT BURNS	041	BIG	B	3,000	33.33	n/a	25-Aug	120.00	4.0
HARVEST MGMT	029	BIG	B	20,000	33.60	n/a	25-Aug	800.00	4.0
RIDGECREST INV MGMT LLC	028	BIG	B	7,100	33.08	n/a	25-Aug	355.00	5.0
MERRILL ASSET/BLACKROCK	297	BMR	B	5,000	15.88	n/a	n/a	200.00	4.0
APEX CAPITAL MGMT.	261	BWA	SS	3,900	57.15	n/a	29-Jul	156.00	4.0
APEX CAPITAL MGMT.	261	BWLD	SS	5,000	55.57	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	CE	S	20,000	30.38	n/a	20-May	600.00	3.0
APEX CAPITAL MGMT.	261	CMG	SS	1,000	291.08	n/a	3-Oct	40.00	4.0
MERRILL ASSET/BLACKROCK	297	COG	S	7,000	57.10	n/a	27-Sep	280.00	4.0
APEX CAPITAL MGMT.	261	COP	SS	11,700	60.12	n/a	n/a	468.00	4.0
KLEINHEINZ CAP PART	031	COST	SS	40,000	79.12	n/a	n/a	2,000.00	5.0
BMO NESBITT BURNS	041	CRI	SS	2,000	30.99	n/a	n/a	80.00	4.0
APEX CAPITAL MGMT.	261	CRM	SS	2,900	113.71	n/a	n/a	116.00	4.0
APEX CAPITAL MGMT.	261	CY	SS	47,900	14.04	n/a	n/a	1,916.00	4.0
PIONEER PATH	028	C	B	46,260	22.92	n/a	27-Sep	1,387.80	3.0
APEX CAPITAL MGMT.	261	DO	SS	4,200	52.26	n/a	n/a	168.00	4.0
APEX CAPITAL MGMT.	261	DXCM	B	11,500	11.77	n/a	n/a	460.00	4.0
APEX CAPITAL MGMT.	261	ERTS	S	2,400	19.55	n/a	n/a	96.00	4.0
LEVIN CAPITAL STRATEGIES	041	FDO	C	28,048	49.65	n/a	29-Sep	841.44	3.0
SCOUT/UMB	047	FII	S	6,000	16.64	n/a	2-Mar	240.00	4.0
BALYASNY ASSET MGMT	044	F	B	100,000	9.39	n/a	4-Oct	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	F	S	100,000	9.70	n/a	4-Oct	4,000.00	4.0
OZ MGMT	040	F	C	693,317	9.36	n/a	4-Oct	20,799.51	3.0
AVESTA CAP	229	GE	C	400,000	14.58	n/a	n/a	12,000.00	3.0
APEX CAPITAL MGMT.	261	GIII	B	4,400	22.33	n/a	n/a	176.00	4.0
STRONG/MARK GRONET	030	GLBL	S	200,000	7.92	n/a	n/a	6,000.00	3.0
SANDLER CAPITAL	028	GM	C	260,000	19.35	n/a	4-Oct	13,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	GM	B	50,000	19.98	n/a	4-Oct	2,000.00	4.0
TALPION LLC	040	GNC	B	5,000	20.26	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GPS	B	10,000	16.25	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	GRMN	SS	11,400	31.19	n/a	n/a	456.00	4.0
APEX CAPITAL MGMT.	261	ICON	B	10,600	15.03	n/a	n/a	424.00	4.0
SCOPUS FUND	041	IR	B	8,784	26.14	n/a	30-Sep	351.36	4.0
APEX CAPITAL MGMT.	261	IWM	SS	12,800	61.46	n/a	n/a	256.00	2.0
APEX CAPITAL MGMT.	261	IYT	SS	4,500	72.69	n/a	n/a	90.00	2.0
APEX CAPITAL MGMT.	261	JWN	B	10,600	46.70	n/a	28-Sep	424.00	4.0
BNP PARIBAS SEC	040	JWN	S	25,000	47.76	n/a	28-Sep	1,250.00	5.0
ACK ASSET	028	KSS	SS	28,000	48.67	n/a	28-Sep	840.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	LEA	B	4,100	40.85	n/a	5-Aug	164.00	4.0
BRONSON POINT	036	LEA	B	10,000	42.79	n/a	5-Aug	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	LEA	B	17,500	42.41	n/a	5-Aug	525.00	3.0
APEX CAPITAL MGMT.	261	LH	SS	4,000	76.28	n/a	n/a	160.00	4.0
PRIMECAP MGMT	084	LIFE	B	17,349	37.07	n/a	n/a	693.96	4.0
APEX CAPITAL MGMT.	261	LLY	SS	14,400	36.06	n/a	n/a	576.00	4.0
ADAGE CAPITAL MGMT	030	LTD	B	194,000	38.51	n/a	n/a	5,820.00	3.0
APEX CAPITAL MGMT.	261	LTM	SS	11,200	35.88	n/a	n/a	448.00	4.0
KLEINHEINZ CAP PART	031	MJN	B	50,000	67.46	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	MMM	B	4,500	69.69	n/a	7-Sep	180.00	4.0
CASTLE ARK	031	MTD	B	26,830	131.20	n/a	n/a	1,341.50	5.0
ADAGE CAPITAL MGMT	030	M	S	182,327	25.45	n/a	28-Sep	5,469.81	3.0
BRONSON POINT	036	M	B	50,000	26.03	n/a	28-Sep	1,500.00	3.0
APEX CAPITAL MGMT.	261	NAV	B	4,800	31.14	n/a	14-Sep	192.00	4.0
SERENGETI MGMT	030	NCT	B	200,000	3.77	n/a	n/a	6,000.00	3.0
ADAGE CAPITAL MGMT	030	NDN	B	145,421	18.20	n/a	16-Sep	4,362.63	3.0
CATAPULT	040	NDN	S	10,000	18.29	n/a	16-Sep	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	041	NDN	B	23,006	18.13	n/a	16-Sep	920.24	4.0
SMITH MGMT LLC	029	NDN	S	175,000	18.28	n/a	16-Sep	5,250.00	3.0
SHIKIAR ASSET	025	NUE	S	9,000	30.75	n/a	n/a	450.00	5.0
BALLAST CAP	040	OCR	S	20,000	22.72	n/a	n/a	1,000.00	5.0
APEX CAPITAL MGMT.	261	OIH	SS	1,500	97.88	n/a	n/a	30.00	2.0
CATAPULT	040	OIS	B	25,000	48.49	n/a	n/a	1,000.00	4.0
SHIKIAR ASSET	025	ORCL	S	15,450	27.74	n/a	n/a	772.50	5.0
APEX CAPITAL MGMT.	261	OTEX	SS	11,000	48.28	n/a	n/a	440.00	4.0
AVESTA CAP	229	PCAR	SS	7,000	33.47	n/a	14-Sep	210.00	3.0
BMO NESBITT BURNS	041	PLCE	B	3,000	47.00	n/a	18-Aug	120.00	4.0
CATAPULT	040	PTEN	B	50,000	15.88	n/a	n/a	2,000.00	4.0
APEX CAPITAL MGMT.	261	RAD	B	181,400	0.90	n/a	n/a	3,628.00	2.0
APEX CAPITAL MGMT.	261	RDY	SS	3,900	28.97	n/a	n/a	156.00	4.0
BMO NESBITT BURNS	041	RUE	SS	3,000	22.55	n/a	n/a	120.00	4.0
APEX CAPITAL MGMT.	261	SAP	SS	11,000	48.71	n/a	n/a	440.00	4.0
THOMAS WEISEL ASSET MGMT	035	SFLY	S	13,500	35.07	n/a	n/a	405.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	SFL	S	2,500	12.01	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	SGEN	SS	13,300	19.69	n/a	n/a	532.00	4.0
APEX CAPITAL MGMT.	261	SHLD	SS	1,600	61.05	n/a	n/a	64.00	4.0
APEX CAPITAL MGMT.	261	SIAL	SS	4,700	60.45	n/a	6-Sep	188.00	4.0
APEX CAPITAL MGMT.	261	SLB	B	3,900	56.46	n/a	n/a	156.00	4.0
CAPITAL GROWTH MGMT.	241	TCO	S	80,000	49.29	n/a	n/a	4,000.00	5.0
APEX CAPITAL MGMT.	261	TDC	SS	13,000	51.01	n/a	n/a	520.00	4.0
PENNANT CAP MGMT	029	TDG	B	31,885	75.17	n/a	n/a	956.55	3.0
ROYCE TRADING	031	TER	S	55,000	11.00	n/a	n/a	2,750.00	5.0
APEX CAPITAL MGMT.	261	TEVA	B	13,600	35.56	n/a	3-Oct	544.00	4.0
APEX CAPITAL MGMT.	261	TIVO	B	97,900	8.98	n/a	n/a	2,937.00	3.0
APEX CAPITAL MGMT.	261	TJX	SS	11,200	54.16	n/a	28-Sep	448.00	4.0
SIMMONS VENTURES	041	TJX	B	5,000	54.20	n/a	28-Sep	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	TKR	B	20,000	32.82	n/a	n/a	600.00	3.0
TOCQUEVILLE	035	TKR	B	39,000	31.41	n/a	n/a	1,950.00	5.0
APEX CAPITAL MGMT.	261	TMO	B	11,400	49.48	n/a	n/a	456.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	TXT	SS	13,400	16.94	n/a	n/a	536.00	4.0
TALPION LLC	040	UA	C	4,000	66.38	n/a	27-Jul	160.00	4.0
SCOUT/UMB	047	UNT	S	5,500	35.00	n/a	27-Sep	220.00	4.0
APEX CAPITAL MGMT.	261	VPHM	SS	15,100	17.66	n/a	n/a	604.00	4.0
APEX CAPITAL MGMT.	261	VTR	S	4,700	46.89	n/a	n/a	188.00	4.0
TOCQUEVILLE	035	WCC	B	25,000	31.82	n/a	n/a	1,250.00	5.0
APEX CAPITAL MGMT.	261	WCRX	B	10,600	13.21	n/a	3-Oct	424.00	4.0
LISTED ERR	099	WCRX	B	2,200	13.18	n/a	3-Oct	0.00	0.0
LISTED ERR	099	WCRX	S	2,200	13.18	n/a	3-Oct	0.00	0.0
CATAPULT	040	WFT	SS	50,000	11.00	n/a	n/a	2,000.00	4.0
ADAGE CAPITAL MGMT	030	WMT	B	300,000	52.04	n/a	25-Aug	9,000.00	3.0
APEX CAPITAL MGMT.	261	WRC	B	2,400	41.18	n/a	2-Aug	96.00	4.0
THOMAS WEISEL ASSET MGMT	035	WRC	S	5,420	40.78	n/a	2-Aug	162.60	3.0
VISIUM/BALY BOBBY	044	XLI	SS	10,000	28.47	n/a	n/a	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	XOM	SS	15,000	70.29	n/a	n/a	450.00	3.0
APEX CAPITAL MGMT.	261	XRT	SS	41,000	44.92	n/a	n/a	820.00	2.0

TOTAL (Trade Date):

165,217.82

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):									165,217.82
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									165,217.82
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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