



Daily Compliance Activity Report

Trade Date: 09/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AA	B	160,000	10.82	n/a	n/a	4,800.00	3.0
CHESAPEAKE PARTNERS	028	CCI	S	15,713	42.72	n/a	n/a	471.39	3.0
NOMURA CAPITAL	029	CHMT	S	28,647	11.98	n/a	18-Feb	859.41	3.0
SURVEYOR CAPITAL	041	CNW	S	8,379	23.93	n/a	n/a	251.37	3.0
PZENA INV ADV	044	CSC	B	6,550	28.20	n/a	n/a	229.26	3.5
IRIDIAN ASSET MGMT.	036	CSX	C	45,250	19.58	n/a	n/a	1,357.50	3.0
ROTHSCHILD ASSET	040	CYT	S	2,550	36.85	n/a	n/a	102.00	4.0
JANA CAPITAL	044	DF	SS	25,000	9.44	n/a	n/a	1,000.00	4.0
PEAK INV LLC	084	DXCM	S	25,000	12.99	n/a	n/a	1,000.00	4.0
BNP PARIBAS SEC	040	FDO	SS	50,000	54.24	n/a	20-Sep	2,500.00	5.0
COLUMBIA PARTNERS	028	FDO	SS	35,953	54.35	n/a	20-Sep	1,438.12	4.0
DSM CAPITAL PARTNERS	085	FDO	S	3,800	54.18	n/a	20-Sep	190.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	FDO	SS	2,000	54.55	n/a	20-Sep	100.00	5.0
MERRILL ASSET/BLACKROCK	297	GCO	S	21,200	54.56	n/a	n/a	848.00	4.0
MERRILL ASSET/BLACKROCK	297	GES	B	57,100	31.26	n/a	25-Aug	2,284.00	4.0
MAIRS AND POWER INV	030	GIS	S	10,000	39.52	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	GRA	S	10,000	37.95	n/a	n/a	500.00	5.0
SURVEYOR CAPITAL	041	HII	S	14,976	26.85	n/a	n/a	449.28	3.0
OHIO PERS	047	HPQ	B	444,500	23.99	n/a	n/a	13,335.00	3.0
RIDGECREST INV MGMT LLC	028	HPQ	B	15,000	24.32	n/a	n/a	750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	IVN	S	50,000	18.10	n/a	n/a	2,500.00	5.0
WAGONHOUND/NICOLAS	033	JCI	B	12,821	28.20	n/a	23-Sep	512.84	4.0
IRIDIAN ASSET MGMT.	036	JPM	B	52,080	32.92	n/a	27-Sep	1,562.40	3.0
CASTLEROCK	040	KSS	SS	80,033	48.21	n/a	2-Sep	3,201.32	4.0
SURVEYOR CAPITAL	041	LPX	SS	34,188	5.88	n/a	5-Aug	1,025.64	3.0
ROXBURY CAPITAL MGMT	035	MLI	S	14,310	43.35	n/a	26-Jul	429.30	3.0
IRIDIAN ASSET MGMT.	036	MS	B	50,000	15.40	n/a	27-Sep	1,500.00	3.0
MTB INV ADV	034	MTW	B	215,700	7.61	n/a	14-Sep	6,471.00	3.0
SURVEYOR CAPITAL	041	NAV	SS	5,447	36.84	n/a	14-Sep	163.41	3.0
MACQUARIE INVESTMENT MGMT.	040	NBL	SS	2,500	74.39	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	NDN	B	40,000	19.13	n/a	16-Sep	2,000.00	5.0
COUGAR TRADING	044	NDN	B	10,000	19.50	n/a	16-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMITH MGMT LLC	029	NDN	S	100,000	19.25	n/a	16-Sep	3,000.00	3.0
WHITE PINE CAPITAL	030	NDN	S	30,250	19.10	n/a	16-Sep	1,512.50	5.0
IRIDIAN ASSET MGMT.	036	NSC	C	27,590	63.92	n/a	n/a	827.70	3.0
SURVEYOR CAPITAL	041	NUE	SS	5,862	34.08	n/a	n/a	175.86	3.0
FRED ALGER MGMT	035	OPTR	S	4,945	15.54	n/a	n/a	178.02	3.6
DAVIDSON KEMPNER ADVISOR	040	RIO	C	10,000	49.81	n/a	n/a	500.00	5.0
RIDGECREST INV MGMT LLC	028	ROST	B	5,000	81.50	n/a	27-Sep	250.00	5.0
SANDLER CAPITAL	028	ROST	B	60,000	81.67	n/a	27-Sep	2,400.00	4.0
OHIO PERS	047	THC	S	37,177	4.33	n/a	n/a	1,115.31	3.0
DSM CAPITAL PARTNERS	085	TIF	B	16,255	71.70	n/a	n/a	812.75	5.0
SURVEYOR CAPITAL	041	USG	SS	26,076	7.59	n/a	22-Jul	782.28	3.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	18,000	24.96	n/a	n/a	900.00	5.0
FRED ALGER MGMT	035	WPRT	S	11,215	31.90	n/a	n/a	403.74	3.6
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	16.67	n/a	29-Jul	1,250.00	5.0
SENATOR INVESTMENT GROUP	036	XCO	B	200,000	12.35	n/a	n/a	6,000.00	3.0
JANA CAPITAL	044	YHOO	S	50,000	14.68	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	041	YUM	B	56,232	53.90	n/a	10-Aug	1,686.96	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ZUMZ	SS	25,000	19.19	n/a	n/a	750.00	3.0
TOTAL (Trade Date):								77,376.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/20	COOPER CREEK PART (COOPCLOSED)	028	BZ	S	50,000	6.72	n/a	n/a	1500.00 3.0
AO,CRT	09/20	COOPER CREEK PART (COOPGS)	028	BZ	S	50,000	6.72	n/a	n/a	1500.00 3.0
AO,	09/22	RWC PARTNERS LTD (RWCPUSALPH)	085	HD	S	56,805	32.97	n/a	16-Aug	1704.15 3.0
AO,CXL	09/22	RWC PARTNERS LTD (RWCPALPHA)	085	HD	S	56,805	32.97	n/a	16-Aug	1704.15 3.0
AO,CRT	09/22	RWC PARTNERS LTD (RWCPUSALPH)	085	IGT	B	5,286	14.17	n/a	13-Jun	158.58 3.0
AO,CXL	09/22	RWC PARTNERS LTD (RWCPALPHA)	085	IGT	B	5,286	14.17	n/a	13-Jun	158.58 3.0
AO,CRT	09/22	RWC PARTNERS LTD (RWCPUSALPH)	085	LINTA	B	6,669	16.33	n/a	n/a	200.07 3.0
AO,CXL	09/22	RWC PARTNERS LTD (RWCPALPHA)	085	LINTA	B	6,669	16.33	n/a	n/a	200.07 3.0

TOTAL (AO, CXL, CRT) :**0.00**

TOTAL (Trade Date) :

77,376.36

TOTAL (AO, CXL, CRT) :

0.00

TOTAL (RUN DATE) / NFS :**77,376.36**

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