



Daily Compliance Activity Report

Trade Date: 08/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT	001	ANF	B	20,000	58.73	n/a	18-Aug	600.00 3.0
SOROS	036	ANR	B	100,000	30.82	n/a	n/a	4,000.00 4.0
CAMBIAR CAP	046	APA	B	25,550	96.86	n/a	17-Aug	1,022.00 4.0
BRIGADE CAPITAL MGMT	029	BAC	B	250,000	6.35	n/a	16-Aug	7,500.00 3.0
LATEFF MGMT	035	BBT	B	2,500	19.41	n/a	n/a	250.00 10.0
BUCK CAPITAL MGMT	001	COH	B	20,000	50.70	n/a	3-Aug	600.00 3.0
SCOPUS FUND	041	COH	B	5,000	50.52	n/a	3-Aug	200.00 4.0
DALTON GREINER	012	CUZ	B	11,710	6.77	n/a	n/a	468.40 4.0
STATE TEACHERS RET SYS	047	EW	B	28,000	70.00	n/a	n/a	1,400.00 5.0
BASIX	033	FL	B	12,000	19.39	n/a	19-Aug	360.00 3.0
CAERUS GLOBAL	041	FL	S	100,000	19.20	n/a	19-Aug	4,000.00 4.0
BUCK CAPITAL MGMT	001	GES	S	111,676	32.74	n/a	18-Jul	3,350.28 3.0
DALTON GREINER	012	GTAT	B	10,110	11.18	n/a	n/a	404.40 4.0
THIRD POINT MGMT	044	HIBB	SS	50,000	35.60	n/a	n/a	2,000.00 4.0
TALPION LLC	040	HME	S	10,000	62.52	n/a	n/a	400.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DALTON GREINER	012	HT	B	17,490	3.71	n/a	n/a	524.70	3.0
MILLRACE FUND LP	028	LEA	B	6,000	41.67	n/a	5-Aug	240.00	4.0
ROTHSCHILD ASSET	040	LHO	S	7,330	15.85	n/a	n/a	293.20	4.0
MACQUARIE INVESTMENT MGMT.	040	LMT	B	5,000	71.29	n/a	16-Aug	0.00	0.0
KLEINHEINZ CAP PART	031	LOW	B	125,000	19.87	n/a	15-Aug	6,250.00	5.0
DALTON GREINER	012	LSCC	B	16,520	5.34	n/a	n/a	660.80	4.0
CHESAPEAKE PARTNERS	028	LSTZA	S	1,800	67.00	n/a	n/a	54.00	3.0
TYEE/TYGH	035	MOD	S	110,000	9.66	n/a	n/a	3,300.00	3.0
BNP PARIBAS SEC	040	M	B	55,600	23.91	n/a	11-Aug	2,780.00	5.0
JP MORGAN VENTURES	046	M	B	10,000	23.87	n/a	11-Aug	400.00	4.0
DALTON GREINER	012	NPBC	B	11,760	6.30	n/a	n/a	470.40	4.0
DALTON GREINER	012	ONB	B	10,850	8.86	n/a	n/a	434.00	4.0
ROTHSCHILD ASSET	040	PCS	S	9,140	10.27	n/a	n/a	365.60	4.0
DALTON GREINER	012	PLAB	B	10,570	6.44	n/a	n/a	422.80	4.0
DALTON GREINER	012	POL	B	9,140	11.37	n/a	n/a	457.00	5.0
TALPION LLC	040	SHAW	SS	24,000	20.86	n/a	n/a	960.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,200	42.80	n/a	n/a	288.00	4.0
BARROW HANLEY MEWHINNEY	031	SLM	B	178,200	13.35	n/a	9-Aug	6,237.00	3.5
TYEE/TYGH	035	SMG	B	51,998	46.25	n/a	9-Aug	2,079.92	4.0
SCOPUS FUND	041	SWFT	B	25,000	7.00	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	TGT	S	25,000	50.53	n/a	17-Aug	1,250.00	5.0
TALPION LLC	040	TIF	S	5,000	61.17	n/a	n/a	200.00	4.0
BASIX	033	TIN	S	15,000	20.79	n/a	4-Aug	450.00	3.0
BRONSON POINT	036	TIN	B	10,000	21.42	n/a	4-Aug	300.00	3.0
BARROW HANLEY MEWHINNEY	031	T	B	294,400	28.76	n/a	n/a	10,304.00	3.5
SOROS	036	UNH	C	39,100	44.00	n/a	n/a	1,564.00	4.0
BARROW HANLEY MEWHINNEY	031	WAG	B	63,440	34.53	n/a	n/a	2,220.41	3.5
SYSTEMATIC FINANCIAL MGT	035	WAG	S	167,500	34.53	n/a	n/a	5,025.00	3.0
SOROS	036	WLP	C	55,700	58.46	n/a	n/a	2,228.00	4.0
STATE TEACHERS RET SYS	047	WLP	S	33,000	58.79	n/a	n/a	1,650.00	5.0
PERRY PARTNERS	085	XLV	SS	50,000	31.31	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								80,463.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/23	JP MORGAN VENTURES (JPMVJPM)	046	M	B	10,000	23.87	n/a	11-Aug	400.00 4.0
AO,	08/22	ROYCE TRADING (ROYC278)	012	PAAS	S	150	32.34	n/a	n/a	7.50 5.0
AO,	08/22	ROYCE TRADING (ROYC150)	012	PAAS	S	14,850	32.34	n/a	n/a	742.50 5.0
TOTAL (AO, CXL, CRT) :										1,150.00

TOTAL (Trade Date):	80,463.91
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TOTAL (RUN DATE) / NFS:	81,613.91
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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