



Daily Compliance Activity Report

Trade Date: 09/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	ACW	S	25,000	7.85	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	BBY	B	5,000	24.22	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	BWS	SS	4,000	6.32	n/a	n/a	160.00	4.0
SONTERRA CAP	041	CEG	B	7,500	37.92	n/a	n/a	300.00	4.0
CATAPULT	040	CHK	SS	19,450	26.27	n/a	n/a	778.00	4.0
CATAPULT	040	CHK	S	5,550	26.27	n/a	n/a	222.00	4.0
Õ Doug Rogers		CPN	S	128	14.4022	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	1300	14.4010	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	14.45	n/a	n/a	400.00	4.0
BALLAST CAP	040	CPRT	B	14,400	37.51	n/a	n/a	720.00	5.0
MACQUARIE INVESTMENT MGMT.	040	CPX	B	5,000	20.91	n/a	n/a	0.00	0.0
EATON VANCE MGMT	029	CVX	S	80,000	89.67	n/a	n/a	2,400.00	3.0
SONTERRA CAP	041	DCI	B	5,420	55.18	n/a	n/a	216.80	4.0
CASTLEROCK	040	DDS	B	55,559	44.80	n/a	n/a	2,222.36	4.0
BMO NESBITT BURNS	041	DKS	B	2,000	33.95	n/a	16-Aug	80.00	4.0
HIGHBRIDGE CAP	041	DKS	B	8,000	33.67	n/a	16-Aug	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	DKS	B	2,000	34.21	n/a	16-Aug	0.00	0.0
LISTED ERR	099	DKS	S	2,000	33.95	n/a	16-Aug	0.00	0.0
ST OF MICHIAN	047	DV	B	20,000	36.19	n/a	n/a	600.00	3.0
SONTERRA CAP	041	EXC	B	7,500	42.43	n/a	n/a	300.00	4.0
LATEFF MGMT	035	FDX	B	1,850	67.86	n/a	n/a	250.00	18.8
PROSPECTOR PARTNERS LLC	036	FE	S	10,000	45.12	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	FINL	B	3,000	20.49	n/a	23-Sep	120.00	4.0
BMO NESBITT BURNS	041	FL	B	3,000	20.74	n/a	19-Aug	120.00	4.0
OZ MGMT	040	FL	S	150,000	20.74	n/a	19-Aug	4,500.00	3.0
OZ MGMT	040	F	B	232,756	9.86	n/a	2-Sep	6,982.68	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	B	15,000	9.41		n/a 2-Sep	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GIS	S	10,000	38.84	n/a	n/a	0.00	0.0
OZ MGMT	040	GM	C	25,000	20.39	n/a	2-Sep	750.00	3.0
SONTERRA CAP	041	HAS	B	5,250	34.38	n/a	n/a	210.00	4.0
BARROW HANLEY MEWHINNEY	031	HPQ	S	296,200	21.85	n/a	n/a	10,367.00	3.5
ST OF MICHIAN	047	HPQ	B	135,000	21.93	n/a	n/a	4,050.00	3.0
SONTERRA CAP	041	IGT	B	33,682	13.54	n/a	13-Jun	1,347.28	4.0
ROSEDALE CAPITAL	046	JCI	S	30,000	26.58	n/a	23-Sep	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	JCP	SS	10,000	24.85	n/a	2-Sep	300.00	3.0
BNP PARIBAS SEC	040	JWN	B	50,000	45.07	n/a	2-Sep	2,500.00	5.0
HIGHBRIDGE CAP	041	KMX	SS	10,250	24.05	n/a	n/a	307.50	3.0
LOMBARDIA CAP MGMT	084	KND	B	97,918	9.69	n/a	n/a	3,916.72	4.0
HOLLIS CAPITAL	033	LEA	B	7,000	39.96	n/a	5-Aug	350.00	5.0
NEWLAND CAPITAL MGT	025	MDR	S	25,000	11.13	n/a	n/a	1,000.00	4.0
BALLAST CAP	040	MON	S	10,000	62.89	n/a	13-Sep	500.00	5.0
HIGHBRIDGE CAP	041	M	B	10,000	25.09	n/a	2-Sep	300.00	3.0
BNP PARIBAS SEC	040	NDN	B	40,000	19.79	n/a	16-Sep	2,000.00	5.0
MACQUARIE INVESTMENT MGMT.	040	NFX	S	2,500	40.69	n/a	n/a	0.00	0.0
CASTLEROCK	040	NOV	B	86,787	53.20	n/a	n/a	3,471.48	4.0
BALLAST CAP	040	OCR	S	10,000	25.54	n/a	n/a	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	PEP	S	5,000	60.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	62.99	n/a	1-Sep	600.00	3.0
TALPION LLC	040	RDEN	B	10,000	31.08	n/a	31-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON INV ADV	035	RDSA	B	47,130	61.30	n/a	n/a	1,885.20	4.0
COHE & STEERS	041	RYN	S	9,630	37.43	n/a	1-Aug	385.20	4.0
SONTERRA CAP	041	SLG	B	4,635	60.36	n/a	n/a	185.40	4.0
LOMBARDIA CAP MGMT	084	SON	S	24,754	29.88	n/a	n/a	990.16	4.0
ROARING BLUE LION MGMT	031	SSI	B	230	13.20	n/a	n/a	9.20	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	3.03	n/a	n/a	800.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	275,640	49.32	n/a	1-Sep	8,269.20	3.0
BALYASNY ASSET MGMT	044	TGT	B	5,000	49.19	n/a	1-Sep	250.00	5.0
CASTLE ARK	031	TGT	B	231,130	49.09	n/a	1-Sep	11,556.50	5.0
MTB INV ADV	034	TRN	S	20,700	21.54	n/a	n/a	1,035.00	5.0
MTB INV ADV	034	TWI	S	25,675	16.47	n/a	n/a	1,283.75	5.0
SUN AMERICA ASSET MGMT	030	TXN	B	800	26.94	n/a	n/a	32.00	4.0
ST OF MICHIAN	047	UNH	S	130,000	47.02	n/a	n/a	3,900.00	3.0
SONTERRA CAP	041	VALE	B	20,510	23.97	n/a	n/a	820.40	4.0
LOCUS WOOD CAPITAL MGMT	044	VOD	S	25,000	25.03	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	WWW	SS	2,000	34.93	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON INV ADV	035	XOM	S	49,249	69.32	n/a	n/a	1,969.96	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	15,000	46.95	n/a	n/a	450.00	3.0
TOTAL (Trade Date):								91,883.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/22	BASIX (BASIBARC)	033	CE	B	6,000	35.32	n/a	20-May	240.00 4.0
AO,CRT	09/22	BASIX (BASIBARC)	033	CE	B	6,000	35.32	n/a	20-May	180.00 3.0
AO,CXL	09/22	BASIX (BASIUBS)	033	CE	B	9,000	35.32	n/a	20-May	360.00 4.0
AO,CRT	09/22	BASIX (BASIUBS)	033	CE	B	9,000	35.32	n/a	20-May	270.00 3.0

TOTAL (AO, CXL, CRT) :	-150.00
-------------------------------	----------------

TOTAL (Trade Date) :	91,883.79
TOTAL (AO, CXL, CRT) :	-150.00

TOTAL (RUN DATE) / NFS:	91,733.79
--------------------------------	------------------

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