



Daily Compliance Activity Report

Trade Date: 08/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ACC	S	60,000	36.69	n/a	n/a	2,400.00	4.0
M&I FUNDS	047	ANN	S	109,038	22.34	n/a	n/a	4,361.52	4.0
MILLRACE FUND LP	028	BWA	SS	5,000	71.01	n/a	n/a	200.00	4.0
SURVEYOR CAPITAL	041	BWA	SS	2,500	71.10	n/a	n/a	75.00	3.0
ADALY INV MGMT	031	CBT	B	6,400	33.68	n/a	n/a	320.00	5.0
SURVEYOR CAPITAL	041	CHRW	S	7,310	68.14	n/a	n/a	219.30	3.0
COUGAR TRADING	044	COF	B	15,000	45.43	n/a	n/a	750.00	5.0
HIGHBRIDGE CAP	041	COH	B	5,000	54.58	n/a	n/a	150.00	3.0
SURVEYOR CAPITAL	041	COL	B	19,000	47.00	n/a	n/a	570.00	3.0
SURVEYOR CAPITAL	041	CP	SS	3,354	60.41	n/a	n/a	100.62	3.0
HUNTER GLOBAL INVESTOR	028	CTAS	B	311,900	30.30	n/a	n/a	12,476.00	4.0
THIRD COAST CAPITAL	035	CVO	S	15,100	4.32	n/a	n/a	453.00	3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	28.31	n/a	n/a	400.00	4.0
CAMBIAR CAP	046	DBD	B	20,200	27.86	n/a	n/a	808.00	4.0
CYPRESS CAP MGMT LLC	040	DKS	S	29,200	32.82	n/a	n/a	1,168.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	DRI	SS	100,000	48.68	n/a	n/a	3,000.00	3.0
SURVEYOR CAPITAL	041	ERJ	B	8,510	24.16	n/a	n/a	255.30	3.0
THIRD COAST CAPITAL	035	EXAS	S	15,000	7.26	n/a	n/a	750.00	5.0
DAVIDSON INV ADV	035	FCFS	S	3,700	46.83	n/a	n/a	148.00	4.0
HIGHBRIDGE CAP	041	FFIV	SS	9,433	84.07	n/a	n/a	282.99	3.0
OHIO PERS	047	FFIV	B	28,000	84.33	n/a	n/a	840.00	3.0
CAMBIAR CAP	046	HBI	B	25,000	27.40	n/a	n/a	1,000.00	4.0
BASSWOOD PARTNERS	267	HD	C	22,200	31.15	n/a	n/a	888.00	4.0
MACQUARIE INVESTMENT MGMT.	040	HON	B	15,000	47.60	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	HTLD	SS	35,386	14.06	n/a	n/a	1,061.58	3.0
SURVEYOR CAPITAL	041	JBHT	SS	7,262	41.11	n/a	n/a	217.86	3.0
SURVEYOR CAPITAL	041	JCI	B	15,408	32.84	n/a	n/a	462.24	3.0
SURVEYOR CAPITAL	041	KRO	B	6,300	23.64	n/a	n/a	189.00	3.0
SURVEYOR CAPITAL	041	LEA	B	20,000	46.34	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	041	MMM	SS	2,423	83.10	n/a	n/a	72.69	3.0
TROUBH PART	070	MSFT	S	35,000	25.20	n/a	n/a	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	MSI	SS	3,000	40.25	n/a	n/a	90.00	3.0
TROUBH PART	070	M	S	25,000	25.59	n/a	n/a	1,250.00	5.0
TOCQUEVILLE	035	QCOR	S	3,150	31.34	n/a	n/a	157.50	5.0
SURVEYOR CAPITAL	041	RTN	S	7,360	41.04	n/a	n/a	220.80	3.0
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,100	46.06	n/a	n/a	284.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.42	n/a	n/a	800.00	4.0
SURVEYOR CAPITAL	041	TDG	S	5,500	88.83	n/a	n/a	165.00	3.0
SCOPUS FUND	041	TJX	B	16,100	53.66	n/a	n/a	644.00	4.0
SURVEYOR CAPITAL	041	UNP	B	2,157	94.29	n/a	n/a	64.71	3.0
CAERUS GLOBAL	041	URBN	B	70,000	29.49	n/a	n/a	2,800.00	4.0
SURVEYOR CAPITAL	041	UTX	SS	6,901	73.09	n/a	n/a	207.03	3.0
SURVEYOR CAPITAL	041	WBC	B	4,011	49.82	n/a	n/a	120.33	3.0
TUDOR INVESTORS	028	WEN	S	75,000	5.04	n/a	n/a	2,250.00	3.0
TUDOR INVESTORS	028	WRC	B	20,000	50.68	n/a	n/a	600.00	3.0
HIGHBRIDGE CAP	041	WSM	B	50,000	31.54	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WWD	B	27,800	30.64	n/a	n/a	1,112.00	4.0
TOTAL (Trade Date):								48,234.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/11	THIRD COAST CAPITAL (3CAPPBOA)	035	CVO	S	30,000	4.22	n/a	n/a	900.00 3.0
AO,CXL	08/11	THIRD COAST CAPITAL (3CAPPBOA)	035	CVO	S	30,000	4.22	n/a	n/a	1500.00 5.0

TOTAL (AO, CXL, CRT) :	-600.00
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TOTAL (Trade Date) :	48,234.47
TOTAL (AO, CXL, CRT) :	-600.00

TOTAL (RUN DATE) / NFS:	47,634.47
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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