



Daily Compliance Activity Report

Trade Date: 08/30/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	1,000	12.41	n/a	n/a	100.00	10.0
LATEFF MGMT	035	ALL	B	200	26.01	n/a	n/a	50.00	25.0
HIGHBRIDGE CAP	041	ANF	B	4,000	63.24	n/a	18-Aug	120.00	3.0
METROPOLITAN CAPITAL	044	ARO	S	4,300	11.35	n/a	19-Aug	215.00	5.0
OHIO PERS	047	BA	S	20,000	65.97	n/a	25-Aug	600.00	3.0
ASCEND PARTNERS	033	BIG	B	17,025	33.48	n/a	25-Aug	510.75	3.0
BMO NESBITT BURNS	041	BIG	B	3,000	33.70	n/a	25-Aug	150.00	5.0
BESSEMER INVESTMENT	085	CAB	S	1,792	23.22	n/a	n/a	71.68	4.0
LATEFF MGMT	035	CBL	B	300	14.73	n/a	n/a	33.00	11.0
CHESAPEAKE PARTNERS	028	CCI	S	6,000	42.30	n/a	n/a	180.00	3.0
STATE TEACHERS RET SYS	047	CHD	B	20,000	43.57	n/a	5-Aug	1,000.00	5.0
HIGHBRIDGE CAP	041	CHS	SS	18,000	13.87	n/a	5-Feb	540.00	3.0
MERRILL ASSET/BLACKROCK	297	CNA	S	14,100	23.75	n/a	n/a	564.00	4.0
HIGHBRIDGE CAP	041	COH	B	5,000	55.67	n/a	3-Aug	150.00	3.0
COBALT	041	CX	SS	100,000	5.27	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	DG	B	3,000	35.70	n/a	30-Aug	150.00	5.0
BESSEMER INVESTMENT	085	DIS	B	100	33.00	n/a	n/a	4.00	4.0
TALPION LLC	040	DSW	SS	5,000	48.75	n/a	11-Feb	200.00	4.0
KACELA CAPITAL	034	ETN	B	65,000	42.67	n/a	18-Aug	2,600.00	4.0
BMO NESBITT BURNS	041	FDO	SS	2,000	50.82	n/a	1-Jul	100.00	5.0
BMO NESBITT BURNS	041	FRED	SS	2,000	11.17	n/a	n/a	100.00	5.0
STATE TEACHERS RET SYS	047	FSP	B	5,000	12.74	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	30,000	49.50	n/a	n/a	900.00	3.0
THOMAS WEISEL ASSET MGMT	035	GES	S	7,923	34.47	n/a	25-Aug	237.69	3.0
BESSEMER INVESTMENT	085	GE	B	475	15.82	n/a	n/a	19.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	HD	SS	15,000	33.44		n/a 16-Aug	600.00	4.0
HOTCHKIS & WILEY	035	HOG	S	267,600	37.53	n/a	n/a	10,704.00	4.0
BESSEMER INVESTMENT	085	HON	B	100	46.46	n/a	18-Aug	4.00	4.0
STATE TEACHERS RET SYS	047	HST	S	10,000	11.35	n/a	13-Jun	500.00	5.0
BESSEMER INVESTMENT	085	IP	B	75	26.67	n/a	4-Aug	3.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	IWO	SS	12,000	83.61	n/a	n/a	360.00	3.0
HIGHBRIDGE CAP	041	JCP	SS	9,500	27.26	n/a	29-Aug	285.00	3.0
BESSEMER INVESTMENT	085	JPM	B	75	37.08	n/a	24-Aug	3.00	4.0
JP MORGAN VENTURES	046	KR	B	25,000	23.37	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	SS	20,000	46.55	n/a	29-Aug	600.00	3.0
HIGHBRIDGE CAP	041	KSS	S	22,000	46.80	n/a	29-Aug	660.00	3.0
ROSEDALE CAPITAL	046	LPX	B	10,000	6.60	n/a	5-Aug	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	LPX	S	100,000	6.61	n/a	5-Aug	3,000.00	3.0
DAVIDSON INV ADV	035	MDU	S	89,714	21.19	n/a	n/a	3,588.56	4.0
PIONEER PATH	028	MO	B	100,000	27.07	n/a	n/a	3,000.00	3.0
CAMBIAR CAP	046	NAV	B	65,000	41.37	n/a	10-Aug	2,600.00	4.0
BESSEMER INVESTMENT	085	NEU	S	383	165.80	n/a	n/a	15.32	4.0
WATERFRONT CAP	028	OC	S	92,648	28.66	n/a	n/a	3,705.92	4.0
STATE TEACHERS RET SYS	047	OFC	B	10,000	26.69	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	PFE	B	350	18.62	n/a	n/a	14.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	24.97	n/a	4-Aug	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PSMT	S	1,053	61.39	n/a	n/a	42.12	4.0
METROPOLITAN CAPITAL	044	PSS	B	7,200	13.44	n/a	n/a	360.00	5.0
BESSEMER INVESTMENT	085	QCOM	B	15	50.39	n/a	n/a	0.60	4.0
HIGHBRIDGE CAP	041	ROST	B	3,500	75.68	n/a	n/a	105.00	3.0
LATEFF MGMT	035	SFG	S	450	30.56	n/a	n/a	100.00	22.5
RAINIER INV MGMT	035	SFY	B	112,360	30.32	n/a	n/a	4,494.40	4.0
NEWLAND CAPITAL MGT	025	SOA	S	10,000	17.41	n/a	n/a	400.00	4.0
PAULSON & CO INC	041	SPY	SS	95,000	121.53	n/a	n/a	3,800.00	4.0
LATEFF MGMT	035	TCB	S	125	10.31	n/a	n/a	31.25	25.0
LATEFF MGMT	035	TEVA	S	175	40.63	n/a	22-Aug	17.50	10.0
BASIX	033	TEX	B	29,000	16.19	n/a	22-Jul	870.00	3.0
HIGHBRIDGE CAP	041	TGT	B	5,000	51.29	n/a	17-Aug	150.00	3.0
DELTEC ASSET MGMT.	040	TKR	B	10,000	38.20	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	028	TXT	B	35,000	16.70	n/a	n/a	1,400.00	4.0
OHIO PERS	047	TXT	B	70,000	16.75	n/a	n/a	2,100.00	3.0
LATEFF MGMT	035	UAL	S	1,000	18.80	n/a	n/a	100.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	XRT	C	38,000	49.45	n/a	n/a	1,140.00	3.0
GEORGE WEISS	034	YUM	B	14,000	54.00	n/a	10-Aug	560.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	21,181	19.41	n/a	n/a	635.43	3.0
TOTAL (Trade Date) :								60,844.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/29	EPOCH INV MGMT (EPOCBROCK)	030	TUP	S	341	65.68	n/a	n/a	10.23 3.0
AO,	08/29	EPOCH INV MGMT (EPOCBOSMED)	030	TUP	S	105	65.68	n/a	n/a	3.15 3.0
AO,	08/29	EPOCH INV MGMT (EPOCGBMARG)	030	TUP	S	5	65.68	n/a	n/a	0.15 3.0
AO,	08/29	EPOCH INV MGMT (EPOCGBMNDW)	030	TUP	S	35	65.68	n/a	n/a	1.05 3.0
AO,	08/29	EPOCH INV MGMT (EPOCGBMSPC)	030	TUP	S	13	65.68	n/a	n/a	0.39 3.0
AO,	08/29	EPOCH INV MGMT (EPOCGBMONB)	030	TUP	S	32	65.68	n/a	n/a	0.96 3.0
AO,	08/29	EPOCH INV MGMT (EPOCELMIRA)	030	TUP	S	26	65.68	n/a	n/a	0.78 3.0
AO,	08/29	EPOCH INV MGMT (EPOCEDFMG)	030	TUP	S	24	65.68	n/a	n/a	0.72 3.0
AO,	08/29	EPOCH INV MGMT (EPOCBIMCOR)	030	TUP	S	297	65.68	n/a	n/a	8.91 3.0
AO,	08/29	EPOCH INV MGMT (EPOCSOUTHS)	030	TUP	S	8	65.68	n/a	n/a	0.24 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIUSSC)	030	TUP	S	181	65.68	n/a	n/a	5.43 3.0
AO,	08/29	EPOCH INV MGMT (EPOCISLET)	030	TUP	S	163	65.68	n/a	n/a	4.89 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIUSSVA)	030	TUP	S	121	65.68	n/a	n/a	3.63 3.0
AO,	08/29	EPOCH INV MGMT (EPOCGVITSC)	030	TUP	S	269	65.68	n/a	n/a	8.07 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCISCPL)	030	TUP	S	180	65.68	n/a	n/a	5.40 3.0
AO,	08/29	EPOCH INV MGMT (EPOCINHLTH)	030	TUP	S	20	65.68	n/a	n/a	0.60 3.0
AO,	08/29	EPOCH INV MGMT (EPOCINHCS)	030	TUP	S	123	65.68	n/a	n/a	3.69 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCALLAN)	030	TUP	S	86	65.68	n/a	n/a	2.58 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIAMSC)	030	TUP	S	126	65.68	n/a	n/a	3.78 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIAMSC)	030	TUP	S	437	65.68	n/a	n/a	13.11 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIGLOB)	030	TUP	S	153	65.68	n/a	n/a	4.59 3.0
AO,	08/29	EPOCH INV MGMT (EPOCCIGLOS)	030	TUP	S	9	65.68	n/a	n/a	0.27 3.0
AO,	08/29	EPOCH INV MGMT (EPOCAMBALL)	030	TUP	S	5	65.68	n/a	n/a	0.15 3.0
AO,	08/29	EPOCH INV MGMT (EPOCNORTOP)	030	TUP	S	1,301	65.68	n/a	n/a	39.03 3.0
AO,	08/29	EPOCH INV MGMT (EPOCNYPDEP)	030	TUP	S	34	65.68	n/a	n/a	1.02 3.0
AO,	08/29	EPOCH INV MGMT (EPOCNYPFD)	030	TUP	S	72	65.68	n/a	n/a	2.16 3.0
AO,	08/29	EPOCH INV MGMT (EPOCNYPMT)	030	TUP	S	35	65.68	n/a	n/a	1.05 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/29	EPOCH INV MGMT (EPOCOKLAHO)	030	TUP	S	983	65.68	n/a	n/a	29.49 3.0
AO,	08/29	EPOCH INV MGMT (EPOCRUXTON)	030	TUP	S	18	65.68	n/a	n/a	0.54 3.0
AO,	08/29	EPOCH INV MGMT (EPOCSIMONF)	030	TUP	S	5	65.68	n/a	n/a	0.15 3.0
AO,	08/29	EPOCH INV MGMT (EPOCALLYAL)	030	TUP	S	68	65.68	n/a	n/a	2.04 3.0
AO,	08/29	EPOCH INV MGMT (EPOCROLLAC)	030	TUP	S	28	65.68	n/a	n/a	0.84 3.0
AO,	08/29	EPOCH INV MGMT (EPOCTRWACV)	030	TUP	S	125	65.68	n/a	n/a	3.75 3.0
AO,	08/29	EPOCH INV MGMT (EPOCKINGM)	030	TUP	S	35	65.68	n/a	n/a	1.05 3.0
AO,	08/29	EPOCH INV MGMT (EPOCTEINVE)	030	TUP	S	97	65.68	n/a	n/a	2.91 3.0
AO,	08/29	EPOCH INV MGMT (EPOCMASONS)	030	TUP	S	89	65.68	n/a	n/a	2.67 3.0
AO,	08/29	EPOCH INV MGMT (EPOCPARKVI)	030	TUP	S	71	65.68	n/a	n/a	2.13 3.0
AO,	08/29	EPOCH INV MGMT (EPOCMPRALL)	030	TUP	S	28	65.68	n/a	n/a	0.84 3.0
AO,	08/29	EPOCH INV MGMT (EPOCINGSCF)	030	TUP	S	58	65.68	n/a	n/a	1.74 3.0
AO,	08/29	EPOCH INV MGMT (EPOCZIPPO)	030	TUP	S	40	65.68	n/a	n/a	1.20 3.0
AO,	08/29	EPOCH INV MGMT (EPOCMSSMCP)	030	TUP	S	923	65.68	n/a	n/a	27.69 3.0
AO,	08/29	EPOCH INV MGMT (EPOCMSDGPO)	030	TUP	S	602	65.68	n/a	n/a	18.06 3.0
AO,	08/29	EPOCH INV MGMT (EPOCMSALLG)	030	TUP	S	1,500	65.68	n/a	n/a	45.00 3.0
AO,	08/29	EPOCH INV MGMT (EPOCENLIGH)	030	TUP	S	11	65.68	n/a	n/a	0.33 3.0
AO,	08/29	EPOCH INV MGMT (EPOCLONGVU)	030	TUP	S	10	65.68	n/a	n/a	0.30 3.0
AO,	08/29	EPOCH INV MGMT (EPOCPRIPAC)	030	TUP	S	41	65.68	n/a	n/a	1.23 3.0
AO,	08/29	EPOCH INV MGMT (EPOCIATSEO)	030	TUP	S	75	65.68	n/a	n/a	2.25 3.0
AO,	08/29	EPOCH INV MGMT (EPOCVALEIN)	030	TUP	S	452	65.68	n/a	n/a	13.56 3.0
AO,	08/29	EPOCH INV MGMT (EPOCFAIRFA)	030	TUP	S	108	65.68	n/a	n/a	3.24 3.0
AO,	08/29	EPOCH INV MGMT (EPOCEDRAM)	030	TUP	S	290	65.68	n/a	n/a	8.70 3.0
AO,	08/29	EPOCH INV MGMT (EPOCADVBLU)	030	TUP	S	11	65.68	n/a	n/a	0.33 3.0
AO,	08/29	EPOCH INV MGMT (EPOCBLUEKA)	030	TUP	S	131	65.68	n/a	n/a	3.93 3.0

TOTAL (AO, CXL, CRT) :

300.00

TOTAL (Trade Date):	60,844.22
---------------------	-----------

TOTAL (AO, CXL, CRT):	300.00
-----------------------	--------

TOTAL (RUN DATE) / NFS:	61,144.22
--------------------------------	------------------

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