



Daily Compliance Activity Report

Trade Date: 09/29/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NUVEEN - US BANCORP		030	ACC	S	24,977	37.48	n/a	n/a	1,123.97 4.5
ROYCE TRADING	031	AEO	B	3,000	11.80	n/a	25-Aug	150.00	5.0
GALT INVESTMENT	041	AN	B	30,000	34.32	n/a	28-Jul	1,500.00	5.0
MILLRACE FUND LP	028	ARG	B	10,000	64.90	n/a	20-Sep	400.00	4.0
TRELLUS PARTNERS LP	028	AXL	C	51,929	7.94	n/a	1-Aug	1,557.87	3.0
MOORE CAPITAL	041	BBBB	B	5,850	44.63	n/a	n/a	234.00	4.0
Õ Doug Rogers		CPN	S	100	14.1800	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	100	14.1809	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	110	14.1815	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	1900	14.1800	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	200	14.1811	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	624	14.1010	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	797	14.1900	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	88	14.1000	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	88	14.1100	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	92	14.1000	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	9834	14.1652	n/a	n/a	0.00	0.0
BRONSON POINT	036	CROX	C	5,000	25.72	n/a	n/a	150.00	3.0
M&I FUNDS	047	CRR	B	4,000	108.75	n/a	11-Jan	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	DECK	S	2,000	96.29	n/a	n/a	100.00	5.0
OHIO PERS	047	EBAY	B	76,000	31.28	n/a	n/a	2,280.00	3.0
AVESTA CAP	229	FDO	SS	50,000	50.46	n/a	29-Sep	1,500.00	3.0
CASTLEROCK	040	FDO	SS	48,697	50.84	n/a	29-Sep	1,947.88	4.0
MACQUARIE INVESTMENT MGMT.	040	FDO	SS	10,000	51.84	n/a	29-Sep	0.00	0.0
MOORE CAPITAL	041	FDO	S	8,100	50.82	n/a	29-Sep	324.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	FDO	SS	10,000	51.69		n/a 29-Sep	500.00	5.0
ROYCE TRADING	031	FINL	B	2,500	20.31	n/a	23-Sep	125.00	5.0
NUVEEN - US BANCORP		030	GKSR	B	5,776	26.12	n/a	n/a	259.92 4.5
OZ MGMT	040	GM	C	100,000	20.83	n/a	2-Sep	3,000.00	3.0
TRELLUS PARTNERS LP	028	GM	C	50,000	20.85	n/a	2-Sep	2,500.00	5.0
PATTEN & PATTEN	025	HDV	B	1,500	50.16	n/a	n/a	75.00	5.0
LATEFF MGMT	035	HPQ	B	350	23.58	n/a	n/a	70.00	20.0
MOORE CAPITAL	041	HTZ	C	8,546	9.11	n/a	n/a	341.84	4.0
PATTEN & PATTEN	025	IAU	B	4,000	15.74	n/a	n/a	200.00	5.0
STANDARD PACIFIC CAPITAL	040	IR	SS	100,000	31.70	n/a	18-Aug	5,000.00	5.0
MOORE CAPITAL	041	ITB	C	27,500	9.27	n/a	n/a	825.00	3.0
NUVEEN - US BANCORP		030	IYR	B	11,755	51.60	n/a	n/a	528.98 4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	JACK	B	30,000	20.27	n/a	n/a	900.00	3.0
CAERUS GLOBAL	041	JNY	B	25,000	9.68	n/a	28-Jul	1,000.00	4.0
AVESTA CAP	229	MCO	SS	25,000	30.30	n/a	n/a	750.00	3.0
CASTLEROCK	040	MHK	B	92,726	45.29	n/a	n/a	3,709.04	4.0
MACQUARIE INVESTMENT MGMT.	040	MJN	S	2,500	72.57	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	MLI	S	54,680	39.16	n/a	26-Jul	1,640.40	3.0
ROYCE TRADING	031	MOV	B	9,000	12.98	n/a	n/a	450.00	5.0
ROSEDALE CAPITAL	046	MSFT	B	30,000	25.50	n/a	n/a	1,500.00	5.0
ADAGE CAPITAL MGMT	030	NDN	B	25,000	18.40	n/a	16-Sep	750.00	3.0
SMITH MGMT LLC	029	NDN	S	115,000	18.26	n/a	16-Sep	3,450.00	3.0
NEWLAND CAPITAL MGT	025	PCAR	S	15,000	35.77	n/a	14-Sep	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	42,981	24.39	n/a	4-Aug	2,149.05	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	7,019	24.38	n/a	4-Aug	350.95	5.0
PATTEN & PATTEN	025	QQQ	B	300	53.15	n/a	n/a	15.00	5.0
SONTERRA CAP	041	RKT	S	40,000	50.41	n/a	4-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	RL	B	60,000	138.87	n/a	11-Aug	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	RL	B	55,951	141.84	n/a	11-Aug	2,238.04	4.0
AVESTA CAP	229	ROST	B	50,000	79.54	n/a	28-Sep	1,500.00	3.0
BRANDWINE	028	ROST	S	57,340	77.73	n/a	28-Sep	2,293.60	4.0
PATTEN & PATTEN	025	SPY	S	1,000	114.63	n/a	n/a	50.00	5.0
OHIO PERS	047	TEX	S	62,500	11.00	n/a	14-Sep	1,875.00	3.0
BERMAN CAPITAL MGMT	046	WMT	S	5,000	52.25	n/a	25-Aug	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	WSM	S	5,000	31.71	n/a	n/a	0.00	0.0
CENTURION PARTNERS	041	YUM	B	10,000	50.84	n/a	10-Aug	400.00	4.0
TOTAL (Trade Date) :								54,024.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/29	ROSEDALE CAPITAL (ROSEJPM)	046	MSFT	B	30,000	25.50	n/a	n/a	1500.00 5.0
CRT	09/29	SMITH MGMT LLC (SMITJPMORG)	029	NDN	S	115,000	18.26	n/a	16-Sep	3450.00 3.0

TOTAL (AO, CXL, CRT) :	4,950.00
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TOTAL (Trade Date) :	54,024.54
TOTAL (AO, CXL, CRT) :	4,950.00

TOTAL (RUN DATE) / NFS:	58,974.54
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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