



## Daily Compliance Activity Report

Trade Date: 09/22/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	AEO	B	1,000	10.60	n/a	25-Aug	50.00	5.0
SERENGETI MGMT	030	ALB	B	60,000	41.23	n/a	n/a	3,000.00	5.0
RBC CAPITAL MARKETS	040	ANF	S	200	63.50	n/a	18-Aug	8.00	4.0
HIGHBRIDGE CAP	041	BBY	SS	11,000	23.57	n/a	n/a	330.00	3.0
TALPION LLC	040	CAKE	C	20,000	25.15	n/a	21-Jul	800.00	4.0
BASIX	033	CE	B	15,000	35.32	n/a	20-May	600.00	4.0
TALPION LLC	040	COST	S	5,000	82.62	n/a	n/a	200.00	4.0
CYPRESS CAP MGMT LLC	040	DPZ	B	21,400	28.14	n/a	26-Jul	856.00	4.0
DAVIDSON KEMPNER ADVISOR	040	DTV	B	25,000	41.21	n/a	n/a	1,250.00	5.0
ST OF MICHIAN	047	DV	B	30,000	35.95	n/a	n/a	900.00	3.0
ROYCE TRADING	031	FINL	B	500	18.05	n/a	21-Sep	25.00	5.0
OZ MGMT	040	FL	B	100,000	19.99	n/a	19-Aug	3,000.00	3.0
OZ MGMT	040	F	C	471,242	9.92	n/a	2-Sep	14,137.26	3.0
OZ MGMT	040	GM	SS	50,000	20.47	n/a	2-Sep	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	GM	SS	50,000	20.59	n/a	2-Sep	2,500.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	16.07	n/a	n/a	1,000.00	4.0
ST OF MICHIAN	047	GS	B	12,000	93.08	n/a	15-Sep	360.00	3.0
MERRILL ASSET/BLACKROCK	297	GT	B	77,600	9.58	n/a	n/a	3,104.00	4.0
RWC PARTNERS LTD	085	HD	S	62,500	32.97	n/a	16-Aug	1,875.00	3.0
RWC PARTNERS LTD	085	IGT	B	5,800	14.17	n/a	13-Jun	174.00	3.0
KLEINHEINZ CAP PART	031	KKR	SS	75,000	10.51	n/a	n/a	3,750.00	5.0
MILLRACE FUND LP	028	LEA	S	24,200	39.33	n/a	5-Aug	726.00	3.0
TIBURION CAP MGMT	025	LEA	SS	11,452	38.52	n/a	5-Aug	572.60	5.0
RWC PARTNERS LTD	085	LINTA	B	7,252	16.33	n/a	n/a	217.56	3.0
DC CAPITAL	044	LPX	B	12,500	5.36	n/a	5-Aug	375.00	3.0
TALPION LLC	040	MJN	S	5,000	72.19	n/a	n/a	200.00	4.0
ROYCE TRADING	031	MOV	B	1,000	12.87	n/a	n/a	50.00	5.0
LISTED ERR	099	MOV	B	1,000	13.11	n/a	n/a	0.00	0.0
LISTED ERR	099	MOV	S	1,000	12.87	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	MRO	B	5,000	22.01	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	MRX	S	10,000	36.58	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	NKE	B	1,500	83.40	n/a	21-Sep	0.00	0.0
TALPION LLC	040	NLSN	B	5,000	27.50	n/a	n/a	200.00	4.0
SANDLER CAPITAL	028	OIS	S	46,410	50.71	n/a	n/a	2,320.50	5.0
ST OF MICHIAN	047	PEP	B	17,000	59.91	n/a	n/a	510.00	3.0
PZENA INV ADV	044	PPG	B	35,225	70.36	n/a	7-Sep	1,232.88	3.5
HIGHBRIDGE CAP	041	PVH	S	4,000	59.97	n/a	1-Sep	120.00	3.0
TALPION LLC	040	RDEN	B	10,000	30.66	n/a	31-Aug	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SBUX	B	2,500	38.47	n/a	29-Jul	0.00	0.0
BALLAST CAP	040	SO	B	10,100	41.84	n/a	n/a	505.00	5.0
JANA CAPITAL	044	SPY	C	86,639	113.01	n/a	n/a	3,465.56	4.0
WALL STREET CAPITAL	084	SSI	S	32,300	12.98	n/a	n/a	1,292.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SUN	B	5,000	32.51	n/a	n/a	0.00	0.0
CYPRESS CAP MGMT LLC	040	TGT	B	7,900	50.83	n/a	1-Sep	316.00	4.0
FARALLON CAP MGMT	040	TGT	B	256,000	49.37	n/a	1-Sep	10,240.00	4.0
THE JAY GOLDMAN	028	TGT	B	50,000	48.92	n/a	1-Sep	2,000.00	4.0
EPOCH INV MGMT	030	TIN	S	58,300	31.30	n/a	13-Sep	1,749.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	TJX	B	2,500	56.13	n/a	2-Sep	0.00	0.0
TALPION LLC	040	TUP	S	15,000	54.91	n/a	n/a	600.00	4.0
ST OF MICHIAN	047	UNH	S	150,000	47.13	n/a	n/a	4,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	UTX	B	15,000	69.01	n/a	n/a	0.00	0.0
PIONEER PATH	028	WAG	SS	40,000	35.22	n/a	n/a	1,200.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	16.06	n/a	29-Jul	1,000.00	5.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	16.65	n/a	n/a	750.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>73,961.36</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/21	CHARTER OAK (CHARFUND3)	033	XHB	B	6,810	14.35	n/a	n/a	204.30 3.0
AO,CXL	09/21	CHARTER OAK (CHARUBS)	033	XHB	B	6,810	14.35	n/a	n/a	204.30 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	73,961.36
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>73,961.36</b>
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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