

Daily Compliance Activity Report Trade Date: 08/30/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
LATEFF MGMT	035	AA	В	1,000	12.41	n/a	n/a	100.00	10.0	
LATEFF MGMT	035	ALL	В	200	26.01	n/a	n/a	50.00	25.0	
HIGHBRIDGE CAP	041	ANF	В	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	ВА	S	20,000	65.97	n/a	25-Aug	600.00	3.0	
ASCEND PARTNERS BMO NESBITT BURNS	033	BIG BIG	В	17,025 3,000	33.48 33.70	n/a n/a	25-Aug 25-Aug	510.75 150.00	3.0 5.0	
BESSEMER INVESTMENT	085	CAB	S	1,792	23.22	n/a	n/a	71.68	4.0	
LATEFF MGMT	035	CBL	В	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	В	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	СОН	В	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	В	3,000	35.70	n/a	30-Aug	150.00	5.0
BESSEMER INVESTMENT	085	DIS	В	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	В	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	В	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	В	475	15.82	n/a	n/a	19.00	4.0
WEDBUSH/PACIFIC GROWTH EQ	TY LLC08	4 HD		SS 15,	000 33.44		n/a 16-Aug	1 600	0.00 4.0
HOTCHKIS & WILEY	035	HOG	S	267,600	37.53	n/a	n/a	10,704.00	4.0
BESSEMER INVESTMENT	085	HON	В	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	В	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	В	75	37.08	n/a	24-Aug	3.00	4.0	
JP MORGAN VENTURES	046	KR	В	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	В	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	В	100,000	27.07	n/a	n/a	3,000.00	3.0	
CAMBIAR CAP	046	NAV	В	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	В	10,000	26.69	n/a	n/a	500.00	5.0	
BESSEMER INVESTMENT	085	PFE	В	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	
	BASIX HIGHBRIDGE CAP BESSEMER INVESTMENT JP MORGAN VENTURES BUCK CAPITAL MGMT HIGHBRIDGE CAP ROSEDALE CAPITAL WEINTRAUB CAPITAL MGT. DAVIDSON INV ADV PIONEER PATH CAMBIAR CAP BESSEMER INVESTMENT WATERFRONT CAP STATE TEACHERS RET SYS BESSEMER INVESTMENT	BASIX 033 HIGHBRIDGE CAP 041 BESSEMER INVESTMENT 085 JP MORGAN VENTURES 046 BUCK CAPITAL MGMT 001 HIGHBRIDGE CAP 041 ROSEDALE CAPITAL 046 WEINTRAUB CAPITAL MGT. 040 DAVIDSON INV ADV 035 PIONEER PATH 028 CAMBIAR CAP 046 BESSEMER INVESTMENT 085 WATERFRONT CAP 028 STATE TEACHERS RET SYS 047 BESSEMER INVESTMENT 085	BASIX HIGHBRIDGE CAP BESSEMER INVESTMENT JP MORGAN VENTURES BUCK CAPITAL MGMT HIGHBRIDGE CAP HIGHBRIDGE CAP O41 KSS ROSEDALE CAPITAL WEINTRAUB CAPITAL MGT. DAVIDSON INV ADV PIONEER PATH CAMBIAR CAP BESSEMER INVESTMENT WATERFRONT CAP STATE TEACHERS RET SYS O47 O40 JPM JPM KR KR HR HIGHBRIDGE CAP O41 KSS MDU LPX MO CAMBIAR CAP O46 NAV BESSEMER INVESTMENT O85 PFE	BASIX HIGHBRIDGE CAP 041 JCP SS BESSEMER INVESTMENT 085 JPM B JP MORGAN VENTURES 046 KR B BUCK CAPITAL MGMT HIGHBRIDGE CAP 041 KSS SS ROSEDALE CAPITAL WEINTRAUB CAPITAL MGT. 046 LPX B WEINTRAUB CAPITAL MGT. 040 LPX S DAVIDSON INV ADV 035 MDU S PIONEER PATH 028 MO B CAMBIAR CAP 046 NAV B BESSEMER INVESTMENT 085 NEU S STATE TEACHERS RET SYS 047 OFC B BESSEMER INVESTMENT 085 PFE B	BASIX 033 IWO SS 12,000 HIGHBRIDGE CAP 041 JCP SS 9,500 BESSEMER INVESTMENT 085 JPM B 75 JP MORGAN VENTURES 046 KR B 25,000 BUCK CAPITAL MGMT 001 KSS SS 20,000 HIGHBRIDGE CAP 041 KSS S 22,000 ROSEDALE CAPITAL 046 LPX B 10,000 WEINTRAUB CAPITAL MGT. 040 LPX S 100,000 DAVIDSON INV ADV 035 MDU S 89,714 PIONEER PATH 028 MO B 100,000 CAMBIAR CAP 046 NAV B 65,000 BESSEMER INVESTMENT 085 NEU S 383 WATERFRONT CAP 028 OC S 92,648 STATE TEACHERS RET SYS 047 OFC B 10,000	BASIX 033 IWO SS 12,000 83.61 HIGHBRIDGE CAP 041 JCP SS 9,500 27.26 BESSEMER INVESTMENT 085 JPM B 75 37.08 JP MORGAN VENTURES 046 KR B 25,000 23.37 BUCK CAPITAL MGMT HIGHBRIDGE CAP 041 KSS S 20,000 46.55 HIGHBRIDGE CAP 041 KSS S 22,000 46.80 ROSEDALE CAPITAL 046 LPX B 10,000 6.60 WEINTRAUB CAPITAL MGT. 040 LPX S 100,000 6.61 DAVIDSON INV ADV 035 MDU S 89,714 21.19 PIONEER PATH 028 MO B 100,000 27.07 CAMBIAR CAP 046 NAV B 65,000 41.37 BESSEMER INVESTMENT 085 NEU S 383 165.80 WATERFRONT CAP 028 OC S 92,648 28.66 STATE TEACHERS RET SYS 047 OFC B 10,000 26.69 BESSEMER INVESTMENT 085 PFE B 350 18.62	BASIX 033 IWO SS 12,000 83.61 n/a HIGHBRIDGE CAP 041 JCP SS 9,500 27.26 n/a BESSEMER INVESTMENT 085 JPM B 75 37.08 n/a JP MORGAN VENTURES 046 KR B 25,000 23.37 n/a BUCK CAPITAL MGNT 001 KSS SS 20,000 46.55 n/a HIGHBRIDGE CAP 041 KSS S 22,000 46.80 n/a ROSEDALE CAPITAL MGT. 046 LPX B 10,000 6.60 n/a WEINTRAUB CAPITAL MGT. 040 LPX S 100,000 6.61 n/a DAVIDSON INV ADV 035 MDU S 89,714 21.19 n/a PIONEER PATH 028 MO B 100,000 27.07 n/a CAMBIAR CAP 046 NAV B 65,000 41.37 n/a BESSEMER INVESTMENT 085 NEU S 383 165.80 n/a WATERFRONT CAP 028 OC S 92,648 28.66 n/a STATE TEACHERS RET SYS 047 OFC B 10,000 26.69 n/a BESSEMER INVESTMENT 085 PFE B 350 18.62 n/a	BASIX 033 IWO SS 12,000 83.61 n/a n/a HIGHBRIDGE CAP 041 JCP SS 9,500 27.26 n/a 29-Aug BESSEMER INVESTMENT 085 JPM B 75 37.08 n/a 24-Aug JP MORGAN VENTURES 046 KR B 25,000 23.37 n/a n/a BUCK CAPITAL MGMT 001 KSS SS 20,000 46.55 n/a 29-Aug HIGHBRIDGE CAP 041 KSS S 22,000 46.80 n/a 29-Aug ROSEDALE CAPITAL 046 LPX B 10,000 6.60 n/a 5-Aug WEINTRAUB CAPITAL MGT. 040 LPX S 100,000 6.61 n/a 5-Aug DAVIDSON INV ADV 035 MDU S 89,714 21.19 n/a n/a PIONEER PATH 028 MO B 100,000 27.07 n/a n/a CAMBIAR CAP 046 NAV B 65,000 41.37 n/a 10-Aug BESSEMER INVESTMENT 085 NEU S 383 165.80 n/a n/a STATE TEACHERS RET SYS 047 OFC B 10,000 26.69 n/a n/a	BASIX 033 IWO SS 12,000 83.61	BASIX 033 TWO SS 12,000 83.61

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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	В	7,200	13.44	n/a	n/a	360.00	5.0	
BESSEMER INVESTMENT	085	QCOM	В	15	50.39	n/a	n/a	0.60	4.0	
HIGHBRIDGE CAP	041	ROST	В	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	В	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	В	29,000	16.19	n/a	22-Jul	870.00	3.0	
5110111	033	1111	D	23,000	10.19	11, a	22 001	0,000	3.0	
HIGHBRIDGE CAP	041	TGT	В	5,000	51.29	n/a	17-Aug	150.00	3.0	
DELTEC ASSET MGMT.	040	TKR	В	10,000	38.20	n/a	n/a	0.00	0.0	
HUNTER GLOBAL INVESTOR	028	TXT	В	35 , 000	16.70	n/a	n/a	1,400.00	4.0	
OHIO PERS	047	TXT	В	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	С	38,000	49.45	n/a	n/a	1,140.00 3.0
GEORGE WEISS	034	YUM	В	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

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI Re	esearch	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	(EPOCCIUSVA)	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 R	esearch	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 (AO, CXL, CRT):	60,844.22 300.00
TOTAL (RUN DATE) / NFS:	61,144.22

Legend:

O: 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