



## Daily Compliance Activity Report

Trade Date: 08/12/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	AAPL	B	20,000	376.50	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	AEO	C	27,500	11.93	n/a	n/a	825.00	3.0
PZENA INV ADV	044	AGII	S	50	27.77	n/a	n/a	1.75	3.5
PECONIC PARTNERS	036	AMZN	B	15,000	199.07	n/a	n/a	750.00	5.0
DC CAPITAL	044	AXE	B	2,295	50.73	n/a	n/a	91.80	4.0
SCOPUS FUND	041	AXL	B	50,000	9.50	n/a	n/a	2,000.00	4.0
AVESTA CAP	229	BA	B	50,000	61.45	n/a	n/a	1,500.00	3.0
GEORGE WEISS	034	COH	B	28,500	53.91	n/a	n/a	1,140.00	4.0
MACQUARIE INVESTMENT MGMT.	040	COL	B	25,000	45.66	n/a	n/a	0.00	0.0
BRASADA	031	CSCO	B	10,000	16.01	n/a	n/a	300.00	3.0
FORWARD MGMT	033	CVGI	S	60,225	7.40	n/a	n/a	2,409.00	4.0
ACK ASSET	028	DAN	B	100,000	13.99	n/a	n/a	3,000.00	3.0
GLENHILL CAPITAL	036	DAN	S	45,000	14.05	n/a	n/a	2,250.00	5.0
BASSWOOD PARTNERS	267	EFX	B	23,500	30.67	n/a	n/a	940.00	4.0
PECONIC PARTNERS	036	GOOG	B	10,000	563.18	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	HHS	S	425	7.63	n/a	n/a	14.88	3.5
SONTERRA CAP	041	IGT	SS	150,000	15.54	n/a	n/a	6,000.00	4.0
RIDGECREST INV MGMT LLC	028	KMT	B	15,000	35.11	n/a	n/a	750.00	5.0
TUDOR INVESTORS	028	LULU	SS	12,500	57.98	n/a	n/a	375.00	3.0
MELLON/BANK OF NEW YORK	046	MS	S	1,532,286	18.06	n/a	n/a	61,291.44	4.0
DARUMA ASSET MGMT INC	046	MTG	S	100,000	2.22	n/a	n/a	4,000.00	4.0
FIRST NY SEC/CHRIS	041	M	B	20,000	25.91	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	PAG	C	47,482	17.83	n/a	n/a	1,899.28	4.0
PLATTE RIVER CAPITAL	240	PFE	B	52,700	17.93	n/a	n/a	2,108.00	4.0
BNP PARIBAS SEC	040	PLCE	B	30,000	41.27	n/a	n/a	1,500.00	5.0
PZENA INV ADV	044	PNM	S	400	13.97	n/a	n/a	14.00	3.5
PZENA INV ADV	044	POR	S	250	22.94	n/a	n/a	8.75	3.5
SCOPUS FUND	041	PVH	B	90,700	64.45	n/a	n/a	3,628.00	4.0
COOPER CREEK PART	028	RKT	S	20,000	52.21	n/a	n/a	800.00	4.0
COHE & STEERS	041	RYN	S	147,427	58.79	n/a	n/a	5,897.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	SBNY	SS	14,300	53.67	n/a	n/a	572.00	4.0
THOMAS WEISEL ASSET MGMT	035	SONS	B	7,504	2.41	n/a	n/a	225.12	3.0
THOMAS WEISEL ASSET MGMT	035	SPPI	B	1,605	8.89	n/a	n/a	48.15	3.0
THOMAS WEISEL ASSET MGMT	035	STNR	B	533	42.84	n/a	n/a	15.99	3.0
THOMAS WEISEL ASSET MGMT	035	TEN	B	380	34.10	n/a	n/a	11.40	3.0
THOMAS WEISEL ASSET MGMT	035	TQNT	B	1,400	7.40	n/a	n/a	42.00	3.0
THOMAS WEISEL ASSET MGMT	035	TRN	B	428	24.80	n/a	n/a	12.84	3.0
THOMAS WEISEL ASSET MGMT	035	TSRX	B	2,059	6.78	n/a	n/a	61.77	3.0
THOMAS WEISEL ASSET MGMT	035	UPI	B	1,430	5.42	n/a	n/a	42.90	3.0
CAERUS GLOBAL	041	URBN	SS	19,281	29.90	n/a	n/a	771.24	4.0
THOMAS WEISEL ASSET MGMT	035	UTHR	B	496	50.78	n/a	n/a	14.88	3.0
THOMAS WEISEL ASSET MGMT	035	VIT	B	689	17.69	n/a	n/a	20.67	3.0
THOMAS WEISEL ASSET MGMT	035	VLTR	B	1,205	23.59	n/a	n/a	36.15	3.0
THOMAS WEISEL ASSET MGMT	035	VOLC	B	595	28.75	n/a	n/a	17.85	3.0
THOMAS WEISEL ASSET MGMT	035	VRUS	B	241	123.90	n/a	n/a	7.23	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	VVTV	B	3,770	5.43	n/a	n/a	113.10	3.0
THOMAS WEISEL ASSET MGMT	035	WCG	B	545	42.59	n/a	n/a	16.35	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	296	51.74	n/a	n/a	8.88	3.0
RAINIER INV MGMT	035	WWD	B	31,700	29.60	n/a	n/a	1,268.00	4.0
DSG CAPITAL	012	YUM	B	5,000	51.36	n/a	n/a	150.00	3.0
PLATTE RIVER CAPITAL	240	YUM	S	29,060	51.25	n/a	n/a	1,162.40	4.0
THOMAS WEISEL ASSET MGMT	035	ZINC	B	829	9.39	n/a	n/a	24.87	3.0
<b>TOTAL (Trade Date) :</b>								<b>110,637.77</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/12	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	KMT	B	15,000	35.11	n/a	n/a	750.00 5.0
AO,CXL	08/11	PERRY PARTNERS (PERRGOLDMA)	085	SXC	S	50,000	12.16	n/a	n/a	2500.00 5.0
AO,CRT	08/11	PERRY PARTNERS (PERRGOLDMA)	085	SXC	S	50,000	12.16	n/a	n/a	2000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>250.00</b>
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TOTAL (Trade Date) :	110,637.77
TOTAL (AO, CXL, CRT) :	250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>110,887.77</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