



## Daily Compliance Activity Report

Trade Date: 08/24/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	BBY	SS	21,000	24.43	n/a	n/a	630.00	3.0
CHESAPEAKE PARTNERS	028	CCI	S	10,000	41.35	n/a	n/a	300.00	3.0
ENTRUST CAPITAL	040	CCK	B	24,300	33.67	n/a	n/a	1,215.00	5.0
HIGHBRIDGE CAP	041	COH	B	5,000	51.09	n/a	3-Aug	150.00	3.0
RAINIER INV MGMT	035	CSX	S	67,900	20.57	n/a	n/a	2,716.00	4.0
KLEINHEINZ CAP PART	031	CVS	B	75,000	34.26	n/a	n/a	3,750.00	5.0
HIGHBRIDGE CAP	041	DECK	B	3,212	81.15	n/a	n/a	96.36	3.0
AVENUE CAPITAL MGMT	070	DYN	S	101,780	3.89	n/a	n/a	3,053.40	3.0
TALPION LLC	040	D	C	20,000	49.02	n/a	n/a	800.00	4.0
CYPRESS CAP MGMT LLC	040	GME	B	39,533	22.72	n/a	n/a	1,581.32	4.0
GEOSPHERE CAPITAL MGMT	299	HFC	S	84,688	67.41	n/a	n/a	2,540.64	3.0
TALPION LLC	040	HOT	C	5,000	42.66	n/a	13-Jun	200.00	4.0
MERRILL ASSET/BLACKROCK	297	LAZ	B	11,100	27.36	n/a	24-Aug	444.00	4.0
MILLRACE FUND LP	028	LEA	B	2,000	42.40	n/a	5-Aug	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	LPX	B	30,000	6.09	n/a	5-Aug	1,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	LPX	B	200,000	6.16	n/a	5-Aug	6,000.00	3.0
CHESAPEAKE PARTNERS	028	LSTZA	S	5,000	68.50	n/a	n/a	150.00	3.0
TYEE/TYGH	035	MOD	S	82,600	10.39	n/a	n/a	2,478.00	3.0
TALPION LLC	040	NLSN	B	5,000	27.71	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	ROST	B	4,000	73.70	n/a	n/a	120.00	3.0
SCOPUS FUND	041	SWFT	B	10,000	7.67	n/a	n/a	400.00	4.0
MTB INV ADV	034	TEN	B	20,000	29.80	n/a	n/a	1,000.00	5.0
DSG CAPITAL	030	TEX	B	30,000	14.13	n/a	22-Jul	900.00	3.0
ASCEND PARTNERS	033	TGT	B	81,261	50.93	n/a	17-Aug	2,437.83	3.0
HIGHBRIDGE CAP	041	TGT	B	5,000	50.51	n/a	17-Aug	150.00	3.0
BASIX	033	TIN	S	15,000	22.51	n/a	4-Aug	450.00	3.0
JET CAPITAL/CHRIS	041	TIN	S	25,000	21.98	n/a	4-Aug	750.00	3.0
HUNTER GLOBAL INVESTOR	028	VMC	B	61,000	33.16	n/a	n/a	3,050.00	5.0
RAINIER INV MGMT	035	XEL	B	66,430	24.29	n/a	n/a	2,657.20	4.0
WEISS PECK	040	XLE	S	5,200	65.86	n/a	n/a	156.00	3.0
WEISS PECK	040	XLF	S	27,000	12.68	n/a	n/a	810.00	3.0

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**TOTAL (Trade Date):**

**40,765.75**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/19	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	L	B	900	35.59	n/a	n/a	36.00 4.0
AO,CXL	08/19	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	L	B	6,700	35.59	n/a	n/a	268.00 4.0
AO,CXL	08/19	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	L	B	900	35.59	n/a	n/a	36.00 4.0
AO,CRT	08/19	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	L	B	6,700	35.59	n/a	n/a	268.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	40,765.75
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>40,765.75</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