



Daily Compliance Activity Report

Trade Date: 09/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
TROUBH PART	070	ADBE	S	10,000	25.02	n/a	n/a	500.00 5.0
ROYCE TRADING	031	AEO	B	5,000	10.93	n/a	25-Aug	250.00 5.0
RAINIER INV MGMT	035	ANF	B	56,540	64.83	n/a	18-Aug	2,261.60 4.0
MA CAPITAL MGMT/MELLON ADV	041	BWA	B	3,000	67.43	n/a	29-Jul	90.00 3.0
SCHOTTENFELD ASSOC	041	BWA	S	4,300	67.55	n/a	29-Jul	129.00 3.0
NEWLAND CAPITAL MGT	025	CFX	S	12,060	21.82	n/a	n/a	482.40 4.0
RAINIER INV MGMT	035	CRS	B	33,070	49.48	n/a	n/a	1,322.80 4.0
1798 CAP/LOMBARD ASSET	040	CSX	C	45,000	20.19	n/a	n/a	2,250.00 5.0
TUDOR INVESTORS	028	DECK	S	7,576	93.03	n/a	n/a	227.28 3.0
SONTERRA CAP	041	DG	B	100,000	35.87	n/a	30-Aug	4,000.00 4.0
MAIRS AND POWER INV	030	DIS	B	10,000	31.26	n/a	n/a	500.00 5.0
HIGHBRIDGE CAP	041	DKS	B	15,000	33.02	n/a	16-Aug	450.00 3.0
PIONEER PATH	028	DRI	SS	25,000	43.96	n/a	7-Sep	750.00 3.0
STANDARD PACIFIC CAPITAL	040	FL	S	100,000	20.24	n/a	19-Aug	5,000.00 5.0
KLEINHEINZ CAP PART	031	HRB	S	100,000	13.17	n/a	n/a	5,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	029	IPHS	S	8,302	38.61	n/a	n/a	249.06	3.0
COBALT	041	IP	S	100,000	26.48	n/a	6-Sep	4,000.00	4.0
ROSEDALE CAPITAL	046	JCI	B	15,000	28.71	n/a	18-Aug	750.00	5.0
TALPION LLC	040	JWN	SS	5,000	45.95	n/a	2-Sep	200.00	4.0
M&I FUNDS	047	KFT	B	25,000	34.04	n/a	n/a	1,000.00	4.0
ADAGE CAPITAL MGMT	030	KR	B	300,261	21.97	n/a	n/a	9,007.83	3.0
MACQUARIE INVESTMENT MGMT.	040	KR	S	10,000	22.02	n/a	n/a	0.00	0.0
PIONEER PATH	028	MCD	B	25,000	85.81	n/a	9-Sep	750.00	3.0
ROTHSCHILD ASSET	040	MPC	B	13,000	35.10	n/a	n/a	520.00	4.0
BNP PARIBAS SEC	040	NDN	B	23,100	18.75	n/a	22-Aug	1,155.00	5.0
CLOVIS CAPITAL	033	NYB	S	250,000	12.45	n/a	18-Aug	7,500.00	3.0
ROTHSCHILD ASSET	040	PCS	S	44,174	10.48	n/a	n/a	1,766.96	4.0
CHART WELL ADV	028	PIR	S	48,025	10.92	n/a	n/a	1,921.00	4.0
PILOT ADV	041	RPM	B	15,000	18.13	n/a	n/a	450.00	3.0
1798 CAP/LOMBARD ASSET	040	SE	C	20,000	25.25	n/a	n/a	1,000.00	5.0
ADAGE CAPITAL MGMT	030	SKX	B	67,200	15.88	n/a	n/a	2,016.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		SWFT	S	6,000	8.20	n/a	n/a	180.00	3.0
FIRST NEW YORK NICK	029	S	S	10,000	3.57	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	TGT	B	158,000	50.93	n/a	1-Sep	4,740.00	3.0
DAVIDSON KEMPNER ADVISOR	040	TIN	S	100,000	31.08	n/a	13-Sep	5,000.00	5.0
PILOT ADV	041	TKR	B	17,700	34.65	n/a	n/a	531.00	3.0
LISTED ERR	099	TKR	B	300	34.65	n/a	n/a	0.00	0.0
LISTED ERR	099	TKR	S	300	34.87	n/a	n/a	0.00	0.0
AVESTA CAP	229	ULTA	S	25,000	69.79	n/a	n/a	750.00	3.0
ACK ASSET	028	WBC	B	60,000	47.34	n/a	18-Aug	1,800.00	3.0
WEISS PECK	040	XLF	B	7,100	12.54	n/a	n/a	213.00	3.0
PIIONEER PATH	028	YUM	SS	25,000	52.18	n/a	10-Aug	750.00	3.0
SIMMONS VENTURES	041	ZQK	B	5,000	3.72	n/a	10-May	200.00	4.0
TOTAL (Trade Date) :								70,162.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									70,162.93
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									70,162.93
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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