



## Daily Compliance Activity Report

Trade Date: 09/30/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	AAPL	S	25,000	385.85	n/a	n/a	750.00	3.0
LATEFF MGMT	035	AA	B	300	9.89	n/a	n/a	30.00	10.0
MERRILL ASSET/BLACKROCK	297	ACE	B	160,000	60.60	n/a	n/a	6,400.00	4.0
AVESTA CAP	229	ADI	C	100,000	31.46	n/a	n/a	3,000.00	3.0
MACQUARIE INVESTMENT MGMT.	040	AGN	S	5,000	83.19	n/a	26-Sep	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	APKT	SS	25,000	41.49	n/a	n/a	1,000.00	4.0
RAIL-SPLITTER	031	ARCO	B	30,100	22.60	n/a	9-Sep	1,505.00	5.0
VISM	044	BAC	S	30,000	6.22	n/a	27-Sep	1,200.00	4.0
LATEFF MGMT	035	CBL	B	750	11.64	n/a	n/a	75.00	10.0
MTB INV ADV	034	CLB	B	12,325	90.40	n/a	21-Jul	616.25	5.0
MACQUARIE INVESTMENT MGMT.	040	COH	B	2,500	52.73	n/a	3-Aug	0.00	0.0
MTB INV ADV	034	DAN	S	10,075	10.77	n/a	29-Jul	403.00	4.0
MERRILL ASSET/BLACKROCK	297	DFT	B	12,000	19.92	n/a	n/a	480.00	4.0
VISIUM/BALY BOBBY	044	DOW	C	5,000	22.82	n/a	7-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	EVEP	B	23,375	71.25	n/a	n/a	1,168.75	5.0
LATEFF MGMT	035	FDX	B	100	68.95	n/a	n/a	25.00	25.0
ROYCE TRADING	031	FINL	B	7,500	20.27	n/a	23-Sep	375.00	5.0
MACQUARIE INVESTMENT MGMT.	040	FRX	B	5,000	31.12	n/a	26-Sep	0.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	100,000	9.84	n/a	30-Sep	4,000.00	4.0
SAVITR CAPITAL	084	GEVO	B	20,000	5.51	n/a	n/a	600.00	3.0
LATEFF MGMT	035	GE	B	300	15.48	n/a	n/a	30.00	10.0
CAMBIAR CAP	046	GLW	B	100,000	12.43	n/a	23-Sep	4,000.00	4.0
BNP PARIBAS SEC	040	GM	B	30,000	20.26	n/a	30-Sep	1,500.00	5.0
BARROW HANLEY MEWHINNEY	031	INTC	S	181,400	21.87	n/a	n/a	6,349.00	3.5
BMO NESBITT BURNS	041	IP	B	25,000	23.50	n/a	6-Sep	1,250.00	5.0
LATEFF MGMT	035	JPM	B	525	30.75	n/a	27-Sep	52.50	10.0
WHITE PINE CAPITAL	030	KMT	B	4,825	32.67	n/a	14-Sep	241.25	5.0
CASTLEROCK	040	KSS	B	80,033	50.22	n/a	28-Sep	3,201.32	4.0
LEVIN CAPITAL STRATEGIES	041	LEA	S	7,500	43.10	n/a	5-Aug	225.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	LII	SS	30,000	26.92	n/a	n/a	1,200.00	4.0
AVESTA CAP	229	LOW	SS	200,000	19.59	n/a	15-Aug	6,000.00	3.0
MERRILL ASSET/BLACKROCK	297	MA	B	25,000	319.46	n/a	16-Sep	1,000.00	4.0
ROYCE TRADING	031	MOV	B	15,000	12.61	n/a	n/a	750.00	5.0
MTB INV ADV	034	MTW	B	59,700	6.83	n/a	14-Sep	1,791.00	3.0
LEVIN CAPITAL STRATEGIES	041	M	B	7,020	26.95	n/a	28-Sep	210.60	3.0
ADAGE CAPITAL MGMT	030	NDN	B	250,000	18.17	n/a	16-Sep	7,500.00	3.0
SMITH MGMT LLC	029	NDN	S	230,000	18.09	n/a	16-Sep	6,900.00	3.0
COLUMBUS CAP MGMT LLC	084	ORCL	SS	30,000	28.97	n/a	n/a	1,500.00	5.0
LATEFF MGMT	035	PFE	S	200	17.93	n/a	n/a	30.00	15.0
BMO NESBITT BURNS	041	PKG	SS	25,000	23.85	n/a	4-Aug	1,250.00	5.0
CASTLEROCK	040	SOHU	B	39,517	52.56	n/a	n/a	1,580.68	4.0
MACQUARIE INVESTMENT MGMT.	040	SPN	B	4,000	27.31	n/a	n/a	0.00	0.0
MOORE CAPITAL	041	SPY	C	15,000	113.86	n/a	n/a	450.00	3.0
LATEFF MGMT	035	TCB	S	500	9.44	n/a	n/a	50.00	10.0
LATEFF MGMT	035	TEVA	B	100	37.64	n/a	26-Sep	25.00	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
NUVEEN - US BANCORP		030	ULTA	S	33,251	63.03	n/a	n/a	1,496.30	4.5
LATEFF MGMT	035	UN	S	225	31.93	n/a	n/a	33.75	15.0	
MA CAPITAL MGMT/MELLON ADV041		WEN	B	22,000	4.68	n/a	12-Aug	660.00	3.0	
VISIUM/BALY BOBBY	044	XLI	S	8,000	29.24	n/a	n/a	400.00	5.0	
SIMMONS VENTURES	041	ZUMZ	B	5,000	17.98	n/a	n/a	250.00	5.0	
TOTAL (Trade Date):								71,804.40		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	09/30	SAVITR CAPITAL (SAVIJPCHAS)	084	GEVO	B	11,400	5.51	n/a	n/a	342.00	3.0
AO,	09/26	ROXBURY CAPITAL MGMT (ROXB40521)	035	MLI	S	185	39.93	n/a	26-Jul	5.55	3.0
AO,CXL	09/26	ROXBURY CAPITAL MGMT (ROXB40542)	035	MLI	S	185	39.93	n/a	26-Jul	5.55	3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>342.00</b>
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TOTAL (Trade Date) :	71,804.40
TOTAL (AO, CXL, CRT) :	342.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>72,146.40</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