



Daily Compliance Activity Report

Trade Date: 08/31/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	ABT	C	89,000	52.06	n/a	n/a	3,560.00	4.0
HIGHBRIDGE CAP	041	ANF	B	8,000	65.70	n/a	18-Aug	240.00	3.0
EPOCH INV MGMT	030	APC	B	21,600	74.89	n/a	17-Aug	648.00	3.0
DC CAPITAL	044	AXE	S	21,000	59.26	n/a	17-Aug	840.00	4.0
NUVEEN - US BANCORP		030	BRCD	S	65,859	3.83	n/a	n/a	2,963.66 4.5
HARVEST MGMT	086	BUD	SS	10,000	55.51	n/a	12-Aug	400.00	4.0
SUN AMERICA ASSET MGMT	030	DAN	S	1,700	12.97	n/a	29-Jul	68.00	4.0
TUDOR INVESTORS	028	DECK	B	7,500	88.78	n/a	n/a	225.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	B	40,000	11.18	n/a	31-Aug	800.00	2.0
BUCK CAPITAL MGMT	001	GCO	S	14,902	53.79	n/a	n/a	447.06	3.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	24.09	n/a	31-Aug	600.00	3.0
OZ MGMT	040	GM	SS	100,000	24.02	n/a	31-Aug	3,000.00	3.0
SCOPUS FUND	041	GT	B	30,000	12.84	n/a	n/a	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	041	IR	S	15,000	33.84	n/a	18-Aug	450.00	3.0
SUN AMERICA ASSET MGMT	030	JAH	S	1,300	29.16	n/a	n/a	52.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	JCP	SS	5,000	26.77	n/a	29-Aug	300.00	6.0
BNP PARIBAS SEC	040	MAT	S	25,000	27.14	n/a	n/a	1,250.00	5.0
SANDLER CAPITAL	028	MCD	S	70,000	90.64	n/a	8-Aug	3,500.00	5.0
DAVIDSON INV ADV	035	MDU	S	7,993	21.41	n/a	n/a	319.72	4.0
LEVIN CAPITAL STRATEGIES	041	NLSN	SS	30,000	29.56	n/a	n/a	900.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	12,701	25.52	n/a	4-Aug	635.05	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	27,299	25.48	n/a	4-Aug	1,364.95	5.0
HARVEST MGMT	086	SBUX	B	20,000	38.89	n/a	29-Jul	800.00	4.0
HARVEST MGMT	086	SBUX	S	20,000	39.11	n/a	29-Jul	800.00	4.0
WEISS PECK	040	SDS	B	15,500	22.45	n/a	n/a	465.00	3.0
RAINIER INV MGMT	035	SFY	B	44,000	31.21	n/a	n/a	1,760.00	4.0
LEVIN CAPITAL STRATEGIES	041	SPLS	S	20,000	14.85	n/a	n/a	600.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	3.79	n/a	n/a	800.00	4.0
SOROS	036	S	SS	250,000	3.75	n/a	n/a	6,250.00	2.5
SUTTON BROOK	086	S	B	500,000	3.80	n/a	n/a	15,000.00	3.0
HIGHBRIDGE CAP	041	TGT	B	10,000	51.34	n/a	17-Aug	300.00	3.0
HIGHBRIDGE CAP	041	TIF	B	8,000	72.46	n/a	n/a	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	T	S	50,000	28.92	n/a	n/a	2,500.00	5.0
RIDGECREST INV MGMT LLC	028	URI	B	10,000	17.27	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	VOD	B	20,000	26.48	n/a	n/a	1,000.00	5.0
TRUST CO/COWEN/CALF.	040	WFT	B	100,000	17.06	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	WRC	S	20,000	54.49	n/a	2-Aug	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	26,000	49.72	n/a	n/a	780.00	3.0
TOTAL (Trade Date) :								60,558.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/30	DELTEC ASSET MGMT. (DELTPEPSPB)	040	TKR	B	10,000	38.20	n/a	n/a	0.00	0.0
AO,CRT	08/30	DELTEC ASSET MGMT. (DELTPEPSPB)	040	TKR	B	10,000	38.20	n/a	n/a	500.00	5.0

TOTAL (AO, CXL, CRT) :	500.00
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TOTAL (Trade Date) :	60,558.44
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS:	61,058.44
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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