



Daily Compliance Activity Report

Trade Date: 09/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	5,000	11.36	n/a	25-Aug	250.00	5.0
CASTLEROCK	040	ALB	SS	28,459	46.06	n/a	n/a	1,138.36	4.0
LATEFF MGMT	035	ALL	B	500	24.74	n/a	n/a	50.00	10.0
MERRILL ASSET/BLACKROCK	297	ANR	B	23,000	28.02	n/a	n/a	920.00	4.0
MERRILL ASSET/BLACKROCK	297	ARCO	S	15,400	27.62	n/a	9-Sep	616.00	4.0
ROYCE TRADING	031	AVX	B	5,000	12.18	n/a	n/a	250.00	5.0
HIGHBRIDGE CAP	041	BBBY	S	17,500	59.90	n/a	n/a	525.00	3.0
COBALT	041	BEAV	B	100,000	33.80	n/a	14-Sep	4,000.00	4.0
COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	2,000.00	4.0
LISTED ERR	099	BZ	B	1,000	6.68	n/a	n/a	0.00	0.0
LISTED ERR	099	BZ	S	1,000	6.60	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	CAG	SS	5,000	22.94	n/a	n/a	0.00	0.0
SCOPUS FUND	041	CAT	S	9,000	83.94	n/a	14-Sep	360.00	4.0
LATEFF MGMT	035	CBL	B	1,000	13.68	n/a	n/a	100.00	10.0
CHESAPEAKE PARTNERS	028	CCI	S	5,000	44.25	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	COH	B	5,000	60.12	n/a	3-Aug	150.00	3.0
JETSTREAM GLOBAL FUND LP	065	CRM	B	16,000	131.82	n/a	n/a	800.00	5.0
HIGHBRIDGE CAP	041	DKS	B	8,000	35.38	n/a	16-Aug	240.00	3.0
BALYASNY ASSET MGMT	044	ELN	B	75,000	9.90	n/a	n/a	3,000.00	4.0
THE JAY GOLDMAN	028	EXPR	S	19,860	21.05	n/a	n/a	794.40	4.0
BRONSON POINT	036	FTR	SS	25,000	6.94	n/a	n/a	750.00	3.0
ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	22.79	n/a	2-Sep	300.00	3.0
OZ MGMT	040	GM	SS	75,000	22.63	n/a	2-Sep	2,250.00	3.0
TROUBH PART	070	GM	S	25,000	22.75	n/a	2-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	27.34	n/a	21-Jul	600.00	3.0
CATAPULT CAP/DEFranco	040	HBI	SS	9,130	27.74	n/a	21-Jul	365.20	4.0
SIMMONS VENTURES	041	HBI	B	7,500	27.52	n/a	21-Jul	300.00	4.0
MERRILL ASSET/BLACKROCK	297	HNZ	B	19,700	50.81	n/a	n/a	788.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HYG	B	131,300	86.90	n/a	n/a	2,626.00	2.0
NORTHWESTERN MUTUAL LIFE	047	JNK	B	434,500	38.17	n/a	n/a	8,690.00	2.0
LATEFF MGMT	035	JPM	B	500	32.56	n/a	15-Sep	50.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	KEG	B	10,000	12.46	n/a	20-Sep	0.00	0.0
LATEFF MGMT	035	KMB	S	150	70.77	n/a	25-Jul	37.50	25.0
THE JAY GOLDMAN	028	KSS	B	30,000	47.16	n/a	2-Sep	1,200.00	4.0
LATEFF MGMT	035	LOW	B	750	20.29	n/a	15-Aug	75.00	10.0
CATAPULT	040	MAT	B	8,000	27.08	n/a	n/a	320.00	4.0
RBC CAPITAL MARKETS	040	MPEL	B	50,000	11.58	n/a	13-Jun	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	MS	S	147,600	15.25	n/a	15-Sep	7,380.00	5.0
HIGHBRIDGE CAP	041	M	B	28,000	27.32	n/a	2-Sep	840.00	3.0
THE JAY GOLDMAN	028	M	SS	50,000	27.54	n/a	2-Sep	2,000.00	4.0
SMITH MGMT LLC	029	NDN	S	85,000	20.16	n/a	16-Sep	2,550.00	3.0
SF SENTRY	085	NP	B	15,000	15.56	n/a	20-Sep	750.00	5.0
LATEFF MGMT	035	NYB	B	500	12.80	n/a	18-Aug	50.00	10.0
LATEFF MGMT	035	OLN	B	250	19.87	n/a	n/a	35.00	14.0
SCOPUS FUND	041	PVH	SS	7,900	65.65	n/a	1-Sep	316.00	4.0
FORWARD MGMT	033	RAS	S	20,000	3.87	n/a	n/a	800.00	4.0
MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	3,133.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	ROST	S	10,500	80.80	n/a	n/a	315.00	3.0
LATEFF MGMT	035	SFG	S	250	28.01	n/a	n/a	37.50	15.0
FORWARD MGMT	033	SFI	S	40,000	6.96	n/a	n/a	1,600.00	4.0
CASTLEROCK	040	SMG	SS	22,980	45.61	n/a	9-Aug	919.20	4.0
LATEFF MGMT	035	SPLS	B	350	14.53	n/a	n/a	35.00	10.0
MACQUARIE INVESTMENT MGMT.	040	SWN	B	5,000	39.13	n/a	14-Sep	0.00	0.0
LATEFF MGMT	035	TCB	S	700	9.90	n/a	n/a	70.00	10.0
LATEFF MGMT	035	TEVA	B	225	37.00	n/a	19-Sep	45.00	20.0
HIGHBRIDGE CAP	041	TIF	B	7,000	77.11	n/a	n/a	210.00	3.0
RBC CAPITAL MARKETS	040	TIN	B	34,396	31.29	n/a	13-Sep	1,375.84	4.0
TALPION LLC	040	TJX	S	5,000	57.08	n/a	2-Sep	200.00	4.0
THE JAY GOLDMAN	028	TJX	SS	110,000	59.26	n/a	2-Sep	4,400.00	4.0
MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00	5.0
HIGHFIELDS CAP MGMT	030	WFC	B	100,000	25.05	n/a	15-Sep	5,000.00	5.0
SANDLER CAPITAL	028	WFM	S	48,000	71.45	n/a	n/a	2,400.00	5.0
CASTLEROCK	040	WHR	SS	19,960	52.71	n/a	n/a	798.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	034	YUM	S	8,000	55.43	n/a	10-Aug	320.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	25,000	19.13	n/a	n/a	750.00	3.0
TOTAL (Trade Date):								76,126.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/20	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	50,000	10.53	n/a	2-Sep	2500.00 5.0
TOTAL (AO, CXL, CRT) :										2,500.00

TOTAL (Trade Date):	76,126.15
TOTAL (AO, CXL, CRT):	2,500.00

TOTAL (RUN DATE) / NFS:	78,626.15
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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