



Daily Compliance Activity Report

Trade Date: 09/07/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ACC	S	23,600	38.19	n/a	n/a	944.00	4.0
ROYCE TRADING	031	AEO	B	1,000	10.69	n/a	25-Aug	50.00	5.0
BALYASNY ASSET MGMT	044	AGN	B	100,000	81.03	n/a	6-Sep	5,000.00	5.0
HIGHBRIDGE CAP	041	ANF	B	5,000	62.06	n/a	18-Aug	150.00	3.0
DAVIDSON KEMPNER ADVISOR	040	ANV	B	21,008	43.67	n/a	n/a	1,050.40	5.0
ARMATURE CAPITAL	041	BLL	SS	25,171	35.28	n/a	n/a	1,006.84	4.0
ARMATURE CAPITAL	041	BLL	S	24,829	35.28	n/a	n/a	993.16	4.0
HIGHBRIDGE CAP	041	CAT	S	39,000	86.76	n/a	25-Jul	1,170.00	3.0
BALLAST CAP	040	CFN	B	16,400	24.81	n/a	n/a	820.00	5.0
HIGHBRIDGE CAP	041	CF	S	11,668	183.82	n/a	n/a	350.04	3.0
MILLENNIUM-ICS BOBBY	044	COL	S	5,000	48.29	n/a	25-Aug	150.00	3.0
PLATTE RIVER CAPITAL	240	CPB	B	9,000	31.54	n/a	n/a	360.00	4.0
MERCHANTS GATE CAP LP	036	FDX	B	50,000	75.02	n/a	n/a	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	GES	C	10,000	30.78	n/a	25-Aug	300.00	3.0
OZ MGMT	040	GM	SS	50,000	22.61	n/a	2-Sep	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SERENGETI MGMT	030	IVZ	B	75,000	17.97	n/a	2-Mar	2,250.00	3.0
BALYASNY ASSET MGMT	044	JNJ	B	20,000	64.96	n/a	n/a	1,000.00	5.0
BNP PARIBAS SEC	040	JWN	S	14,900	45.16	n/a	2-Sep	745.00	5.0
BNP PARIBAS SEC	040	KSS	B	9,700	44.12	n/a	2-Sep	485.00	5.0
BNP PARIBAS SEC	040	KSS	S	9,700	44.73	n/a	2-Sep	485.00	5.0
FRIESS MGMT	033	MDR	S	181,300	13.58	n/a	n/a	7,252.00	4.0
ROSEDALE CAPITAL	046	MLI	B	12,000	43.90	n/a	26-Jul	600.00	5.0
PLATTE RIVER CAPITAL	240	MU	S	50,000	5.96	n/a	n/a	1,500.00	3.0
M&I FUNDS	047	M	B	47,068	25.80	n/a	2-Sep	1,882.72	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		NAV	B	6,000	38.99		n/a 10-Aug	300.00	5.0
BMO NESBITT BURNS	041	PKG	S	2,000	25.77	n/a	4-Aug	120.00	6.0
BNP PARIBAS SEC	040	PLCE	SS	30,000	42.62	n/a	18-Aug	1,500.00	5.0
BMO NESBITT BURNS	041	RKT	B	2,000	54.43	n/a	4-Aug	120.00	6.0
HIGHBRIDGE CAP	041	SDRL	B	33,000	30.79	n/a	n/a	990.00	3.0
ROARING BLUE LION MGMT	031	SSI	B	2,000	14.10	n/a	n/a	80.00	4.0
BMO NESBITT BURNS	041	TIN	S	30,000	30.95	n/a	6-Sep	1,550.00	5.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT/GEMINDER	040	TIN	B	50,000	31.00	n/a	6-Sep	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	40,009	31.00	n/a	6-Sep	2,000.45	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	39,991	31.00	n/a	6-Sep	1,999.55	5.0
HIGHBRIDGE CAP	041	TRW	B	26,000	39.45	n/a	n/a	780.00	3.0
PLATTE RIVER CAPITAL	240	TSN	B	24,000	17.19	n/a	n/a	960.00	4.0
BMO NESBITT BURNS	041	USG	B	15,000	9.04	n/a	22-Jul	900.00	6.0
PLATTE RIVER CAPITAL	240	WY	B	30,000	17.16	n/a	29-Jul	1,200.00	4.0
TOTAL (Trade Date):								46,044.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/02	PATTEN & PATTEN (PATTFSG BA)	025	EWJ	S	2,500	9.61	n/a	n/a	125.00 5.0
AO,CXL	09/02	PATTEN & PATTEN (PATTPERSHI)	025	EWJ	S	2,500	9.61	n/a	n/a	125.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	46,044.16
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	46,044.16
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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