



## Daily Compliance Activity Report

Trade Date: 09/14/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	35,000	10.97	n/a	25-Aug	1,750.00	5.0
SURVEYOR CAPITAL	041	ALK	SS	6,641	59.92	n/a	n/a	199.23	3.0
HIGHBRIDGE CAP	041	ANN	B	21,000	24.38	n/a	n/a	630.00	3.0
BNP PARIBAS SEC	040	AVY	S	15,000	26.36	n/a	6-Sep	750.00	5.0
HIGHBRIDGE CAP	041	BBBY	S	4,500	58.78	n/a	n/a	135.00	3.0
ASCEND PARTNERS	033	BIG	B	34,745	31.66	n/a	25-Aug	1,042.35	3.0
BMO NESBITT BURNS	041	BZ	B	15,000	5.98	n/a	n/a	600.00	4.0
COOPER CREEK PART	028	BZ	B	30,000	5.96	n/a	n/a	900.00	3.0
EPOCH INV MGMT	030	CCE	B	150,000	26.54	n/a	n/a	4,500.00	3.0
MERRILL ASSET/BLACKROCK	297	CNA	S	21,200	23.99	n/a	n/a	848.00	4.0
HIGHBRIDGE CAP	041	COH	B	5,000	57.00	n/a	3-Aug	150.00	3.0
RAINIER INV MGMT	035	CRS	B	40,000	50.55	n/a	n/a	1,600.00	4.0
SURVEYOR CAPITAL	041	DAL	B	23,613	8.43	n/a	n/a	708.39	3.0
ACK ASSET	028	DAN	B	32,500	12.26	n/a	29-Jul	975.00	3.0
ARMATURE CAPITAL	041	DE	SS	20,000	77.15	n/a	14-Sep	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	DG	B	16,205	36.53	n/a	30-Aug	648.20	4.0
HIGHBRIDGE CAP	041	DKS	B	8,000	34.86	n/a	16-Aug	240.00	3.0
PIIONEER PATH	028	DNKN	S	75,000	25.60	n/a	n/a	2,250.00	3.0
TUDOR INVESTORS	028	FDO	SS	25,000	51.41	n/a	1-Jul	750.00	3.0
PIIONEER PATH	028	GPS	B	75,000	16.73	n/a	n/a	2,250.00	3.0
SIMMONS VENTURES	041	GPS	S	7,500	16.60	n/a	n/a	300.00	4.0
HUNTER GLOBAL INVESTOR	028	GWW	SS	12,750	157.05	n/a	18-Aug	637.50	5.0
TALPION LLC	040	HD	B	10,000	33.36	n/a	16-Aug	400.00	4.0
CATAPULT	040	HLX	SS	25,000	16.62	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	40,000	26.75	n/a	6-Sep	2,000.00	5.0
ROSEDALE CAPITAL	046	JCI	B	15,000	28.96	n/a	18-Aug	750.00	5.0
SIMMONS VENTURES	041	JNY	B	15,000	11.08	n/a	28-Jul	600.00	4.0
HIGHBRIDGE CAP	041	KMX	SS	10,000	26.93	n/a	n/a	300.00	3.0
FIRST NEW YORK FRAN	028	KSS	SS	10,000	44.82	n/a	2-Sep	400.00	4.0
TALPION LLC	040	K	C	5,000	52.88	n/a	n/a	200.00	4.0
ROYCE TRADING	031	LAZ	B	20,000	24.37	n/a	24-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	MAT	S	53,000	26.47	n/a	n/a	1,590.00	3.0
PIONEER PATH	028	MCD	B	25,000	87.08	n/a	9-Sep	750.00	3.0
KLEINHEINZ CAP PART	031	MMM	B	50,000	79.53	n/a	7-Sep	2,500.00	5.0
SURVEYOR CAPITAL	041	MMM	SS	5,000	79.93	n/a	7-Sep	150.00	3.0
PECONIC PARTNERS	036	MOS	B	10,000	71.02	n/a	n/a	500.00	5.0
PIONEER PATH	028	MO	B	50,000	26.61	n/a	n/a	1,500.00	3.0
SURVEYOR CAPITAL	041	NAV	B	5,211	38.58	n/a	14-Sep	156.33	3.0
SURVEYOR CAPITAL	041	PCP	S	1,185	168.14	n/a	29-Jul	35.55	3.0
PERRY PARTNERS	085	RAH	S	29,462	77.36	n/a	n/a	883.86	3.0
BALLAST CAP	040	SCSS	B	4,000	16.50	n/a	n/a	200.00	5.0
HARRIER HAWK MGMT	028	SHW	SS	21,000	76.57	n/a	7-Sep	840.00	4.0
TALPION LLC	040	SIX	S	5,000	31.50	n/a	n/a	200.00	4.0
PIONEER PATH	028	SLE	B	75,000	17.44	n/a	n/a	2,250.00	3.0
RIDGECREST INV MGMT LLC	028	TGT	B	5,000	51.29	n/a	1-Sep	250.00	5.0
HIGHBRIDGE CAP	041	TIF	B	4,000	72.50	n/a	n/a	120.00	3.0
TALPION LLC	040	TJX	B	5,000	53.27	n/a	2-Sep	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	UAL	B	9,886	20.25	n/a	n/a	296.58	3.0
AVESTA CAP	229	WMT	C	100,000	51.89	n/a	25-Aug	3,000.00	3.0
TALPION LLC	040	WMT	C	5,000	52.28	n/a	25-Aug	200.00	4.0
TALPION LLC	040	XLI	C	5,000	31.30	n/a	n/a	200.00	4.0
JET CAPITAL/CHRIS	041	XLU	SS	45,000	33.30	n/a	n/a	1,350.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	17,633	19.04	n/a	n/a	528.99	3.0
<b>TOTAL (Trade Date):</b>								<b>47,014.98</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/14	COOPER CREEK PART (COOPGS)	028	BZ	B	30,000	5.96	n/a	n/a	900.00 3.0
AO,	09/13	ADAGE CAPITAL MGMT (ADAGCSFB)	030	KR	B	522	21.97	n/a	n/a	15.66 3.0
AO,CXL	09/13	ADAGE CAPITAL MGMT (ADAGMS)	030	KR	B	300,261	21.97	n/a	n/a	9007.83 3.0
AO,CRT	09/13	ADAGE CAPITAL MGMT (ADAGMS)	030	KR	B	299,739	21.97	n/a	n/a	8992.17 3.0
AO,CXL	09/13	SIMMONS VENTURES (SIMMJPM)	041	ZQK	B	5,000	3.72	n/a	10-May	200.00 4.0
AO,	09/13	SIMMONS VENTURES (SIMMJPM)	041	ZQK	B	5,000	3.72	n/a	10-May	150.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>850.00</b>
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TOTAL (Trade Date) :	47,014.98
TOTAL (AO, CXL, CRT) :	850.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>47,864.98</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