



## Daily Compliance Activity Report

Trade Date: 09/26/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ACI	B	25,000	15.72	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	AMTD	B	90,300	14.64	n/a	n/a	2,709.00	3.0
SENATOR INVESTMENT GROUP	036	AOS	S	30,060	34.06	n/a	18-Aug	901.80	3.0
CASTLEROCK	040	AUY	B	169,800	13.69	n/a	n/a	6,792.00	4.0
BASSWOOD PARTNERS	267	BK	B	137,500	18.66	n/a	15-Sep	5,500.00	4.0
LOCUS WOOD CAPITAL MGMT	044	BRKA	B	25104	541.08	n/a	n/a	1.00	4.0
LOCUS WOOD CAPITAL MGMT	044	BRKB	B	5,000	68.59	n/a	n/a	200.00	4.0
SCOPUS FUND	041	CMI	B	25,100	87.96	n/a	14-Sep	1,004.00	4.0
TRUST CO OF THE WEST/NY	040	CNX	S	29,370	35.53	n/a	n/a	1,468.50	5.0
TRUST CO/COWEN/CALF.	040	CNX	S	29,544	35.53	n/a	n/a	1,477.20	5.0
PILOT ADV	041	CREE	C	15,500	28.45	n/a	n/a	465.00	3.0
EATON VANCE MGMT	029	CVX	S	100,000	90.83	n/a	n/a	3,000.00	3.0
BASSWOOD PARTNERS	267	C	B	34,500	25.72	n/a	15-Sep	1,380.00	4.0
MERRILL ASSET/BLACKROCK	297	DFT	B	5,000	20.57	n/a	n/a	200.00	4.0
LOCUS WOOD CAPITAL MGMT	044	DPZ	S	15,000	28.06	n/a	26-Jul	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GM	SS	50,000	20.87	n/a	2-Sep	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	B	20,000	21.09	n/a	2-Sep	600.00	3.0
HIGHBRIDGE CAP	041	GPC	B	11,000	49.92	n/a	n/a	330.00	3.0
EATON VANCE MGMT	029	HAL	S	292,671	33.03	n/a	n/a	8,780.13	3.0
PATTEN & PATTEN	025	HCF	S	24,500	6.27	n/a	n/a	1,225.00	5.0
SUN AMERICA ASSET MGMT	030	HXL	S	2,700	20.60	n/a	26-Sep	108.00	4.0
BALYASNY ASSET MGMT	044	JCP	SS	25,000	26.51	n/a	2-Sep	1,250.00	5.0
SIMMONS VENTURES	041	JNY	B	5,000	9.50	n/a	28-Jul	200.00	4.0
KLEINHEINZ CAP PART	031	KMX	B	100,000	24.59	n/a	n/a	5,000.00	5.0
THE JAY GOLDMAN	028	KSS	S	40,000	47.26	n/a	2-Sep	1,600.00	4.0
MERRILL ASSET/BLACKROCK	297	LAZ	B	10,000	23.00	n/a	15-Sep	400.00	4.0
AVESTA CAP	229	LOW	SS	100,000	19.40	n/a	15-Aug	3,000.00	3.0
ROXBURY CAPITAL MGMT	035	MLI	S	15,385	39.93	n/a	26-Jul	461.55	3.0
OHIO PERS	047	MMM	S	54,660	74.77	n/a	7-Sep	1,639.80	3.0
LOCUS WOOD CAPITAL MGMT	044	MSI	S	100,000	41.49	n/a	n/a	4,000.00	4.0
BASSWOOD PARTNERS	267	MS	S	64,000	13.82	n/a	15-Sep	2,560.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MS	S	1,788	13.99	n/a	15-Sep	71.52	4.0
OHIO PERS	047	MTD	B	4,890	141.23	n/a	n/a	146.70	3.0
KACELA CAPITAL	034	NVDA	S	32,110	13.32	n/a	n/a	1,284.40	4.0
WINSLOW CAPITAL	030	ORLY	B	32,600	69.10	n/a	n/a	978.00	3.0
COOPER CREEK PART	028	PAG	B	15,338	15.62	n/a	22-Jul	613.52	4.0
WINSLOW CAPITAL	030	PCLN	B	7,600	508.66	n/a	n/a	228.00	3.0
PZENA INV ADV	044	PPG	B	3,000	71.97	n/a	7-Sep	105.00	3.5
WINSLOW CAPITAL	030	PRGO	B	18,500	94.94	n/a	26-Sep	555.00	3.0
BASSWOOD PARTNERS	267	STT	S	82,550	31.23	n/a	15-Sep	3,302.00	4.0
LOCUS WOOD CAPITAL MGMT	044	SUN	B	10,000	32.51	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	TLEO	S	1,700	25.11	n/a	n/a	68.00	4.0
SUN AMERICA ASSET MGMT	030	TWI	S	1,600	15.81	n/a	n/a	64.00	4.0
OHIO PERS	047	TXT	B	59,200	17.62	n/a	n/a	1,776.00	3.0
SUN AMERICA ASSET MGMT	030	VOLC	S	2,000	28.66	n/a	n/a	80.00	4.0
CATAPULT	040	WNR	B	25,000	12.78	n/a	n/a	1,000.00	4.0
BASIX	033	XRT	B	20,000	47.97	n/a	n/a	600.00	3.0

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**TOTAL (Trade Date):**

**71,625.12**

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Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									71,625.12
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									71,625.12

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