



Daily Compliance Activity Report

Trade Date: 09/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	10,000	11.47	n/a	25-Aug	500.00	5.0
MERRILL ASSET/BLACKROCK	297	BAC	B	500,000	7.32	n/a	15-Sep	15,000.00	3.0
RIDGECREST INV MGMT LLC	028	CBRL	B	10,000	42.28	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	CCK	B	20,000	32.41	n/a	n/a	1,000.00	5.0
RAINIER INV MGMT	035	CRS	B	16,800	53.40	n/a	n/a	672.00	4.0
ACK ASSET	028	DAN	B	98,200	12.93	n/a	29-Jul	2,946.00	3.0
MTB INV ADV	034	DAN	B	22,550	12.80	n/a	29-Jul	902.00	4.0
BNP PARIBAS SEC	040	DSW	SS	40,000	46.46	n/a	11-Feb	2,000.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	SS	30,000	10.50	n/a	2-Sep	1,200.00	4.0
IVORY CAPITAL	034	GCI	S	53,531	10.12	n/a	n/a	2,676.55	5.0
OZ MGMT	040	GM	SS	117,812	22.56	n/a	2-Sep	3,534.36	3.0
GEORGE WEISS	034	GPC	B	14,000	52.72	n/a	n/a	560.00	4.0
KLEINHEINZ CAP PART	031	HRB	S	255,000	14.08	n/a	n/a	12,750.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	HRB	B	206,500	14.05	n/a	n/a	8,260.00	4.0
SUN AMERICA ASSET MGMT	030	INCY	B	5,100	14.62	n/a	n/a	204.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	IP	C	100,000	27.91	n/a	6-Sep	3,000.00	3.0
OZ MGMT	040	IP	SS	25,000	28.09	n/a	6-Sep	750.00	3.0
DELTEC ASSET MGMT.	040	IR	S	9,500	35.77	n/a	18-Aug	475.00	5.0
CAERUS GLOBAL	041	JNY	B	22,600	11.48	n/a	28-Jul	904.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	JNY	B	10,000	11.30	n/a	28-Jul	500.00	5.0
PRIMECAP MGMT	084	KSS	S	2,500	47.77	n/a	2-Sep	100.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	6.19	n/a	5-Aug	750.00	5.0
GEORGE WEISS	034	MW	B	10,000	28.27	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	NDN	S	83,100	20.80	n/a	16-Sep	4,155.00	5.0
SMITH MGMT LLC	029	NDN	S	315,000	20.52	n/a	16-Sep	9,450.00	3.0
TALPION LLC	040	PETM	S	10,000	44.51	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	PKG	S	25,000	26.82	n/a	4-Aug	1,250.00	5.0
BMO NESBITT BURNS	041	RKT	B	15,000	55.93	n/a	4-Aug	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	55.94	n/a	4-Aug	1,000.00	5.0
SONTERRA CAP	041	RTI	B	50,000	25.11	n/a	n/a	2,000.00	4.0
ROYCE TRADING	031	SUP	S	20,000	16.54	n/a	8-Aug	1,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	TGT	B	2,000	52.89	n/a	1-Sep	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	TGT	S	75,000	52.86	n/a	1-Sep	2,250.00	3.0
SUN AMERICA ASSET MGMT	030	UXG	S	3,500	5.86	n/a	n/a	140.00	4.0
BALYASNY ASSET MGMT	044	WRC	C	20,000	52.71	n/a	2-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	17.65	n/a	29-Jul	1,000.00	5.0
IVORY CAPITAL	034	XRT	SS	60,000	50.03	n/a	n/a	300.00	0.5
TOTAL (Trade Date):								84,378.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/15	NOMURA CAPITAL (NOMUSTRAT)	029	CHMT	S	12,845	13.13	n/a	18-Feb	385.35 3.0
AO,	09/15	NOMURA CAPITAL (NOMUBATT2)	029	CHMT	S	7,217	13.13	n/a	18-Feb	216.51 3.0
AO,	09/15	NOMURA CAPITAL (NOMUBSMAN)	029	CHMT	S	9,938	13.13	n/a	18-Feb	298.14 3.0
AO,CRT	09/15	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	CROX	B	13,400	27.50	n/a	n/a	536.00 4.0
AO,CXL	09/15	CYPRESS CAP MGMT LLC (CYPRBTIG)	040	CROX	B	13,400	27.50	n/a	n/a	536.00 4.0
AO,CRT	09/15	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	JAH	B	19,400	30.15	n/a	n/a	776.00 4.0
AO,CXL	09/15	CYPRESS CAP MGMT LLC (CYPRBTIG)	040	JAH	B	19,400	30.15	n/a	n/a	776.00 4.0
AO,CXL	09/15	GREEN ARROW DOUG (GADRGSI)	040	PAET	B	50,000	5.68	n/a	n/a	0.00 0.0
AO,	09/15	GREEN ARROW DOUG (GADRGSI)	040	PAET	B	50,000	5.68	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										2,400.00
TOTAL (Trade Date):										84,378.91
TOTAL (AO, CXL, CRT):										2,400.00
TOTAL (RUN DATE) / NFS:										86,778.91

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