



Daily Compliance Activity Report

Trade Date: 08/19/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AEO	B	60,000	11.22	n/a	26-May	1,800.00	3.0
ROYCE TRADING	012	AEO	B	14,500	11.14	n/a	26-May	725.00	5.0
ROYCE TRADING	012	AIT	B	1,500	26.78	n/a	n/a	75.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AKS	S	150,000	7.79	n/a	n/a	4,500.00	3.0
HIGHBRIDGE CAP	041	ANF	B	2,871	59.10	n/a	18-Aug	86.13	3.0
HIGHBRIDGE CAP	041	ANN	SS	23,000	21.92	n/a	n/a	690.00	3.0
JP MORGAN VENTURES	046	ANN	S	10,000	21.80	n/a	n/a	400.00	4.0
ROYCE TRADING	012	AVX	B	1,000	12.13	n/a	n/a	50.00	5.0
ROYCE TRADING	012	BIO	B	500	96.44	n/a	n/a	25.00	5.0
SCOPUS FUND	041	BZ	S	123,600	5.31	n/a	n/a	4,944.00	4.0
SOROS	036	CCI	S	7,700	39.84	n/a	n/a	308.00	4.0
FORTRESS INVESTMENT (US)	036	CCK	B	15,000	34.38	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	297	CFR	B	6,200	47.24	n/a	n/a	248.00	4.0
HIGHBRIDGE CAP	041	CHS	B	21,000	12.33	n/a	5-Feb	630.00	3.0
ROYCE TRADING	012	CLW	B	2,500	66.10	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHALSON/MILLENIU	041	CLX	B	17,000	65.42	n/a	4-Aug	680.00	4.0
PROSPECTOR PARTNERS LLC	036	CLX	B	8,100	64.73	n/a	4-Aug	324.00	4.0
CHALSON/MILLENIU	041	CL	B	25,000	84.99	n/a	1-Aug	1,000.00	4.0
SOROS	036	CTSH	B	54,250	55.16	n/a	n/a	2,170.00	4.0
HIGHBRIDGE CAP	041	DECK	B	1,288	77.31	n/a	n/a	38.64	3.0
BAIRD INVESTMENT	047	DG	B	16,025	32.22	n/a	4-Aug	801.25	5.0
BNP PARIBAS SEC	040	EBAY	B	75,000	28.33	n/a	n/a	3,750.00	5.0
BAIRD INVESTMENT	047	ECL	B	23,225	44.59	n/a	11-Aug	1,161.25	5.0
MILLENIU ICS OPPORTUNITIES TONY060		EXH	B	20,000	10.50		n/a 11-Jan	600.00	3.0
ROYCE TRADING	012	FINL	B	2,000	17.69	n/a	24-Jun	100.00	5.0
OZ MGMT	040	FL	S	140,000	18.35	n/a	19-Aug	4,200.00	3.0
M&I FUNDS	047	F	S	27,537	10.26	n/a	3-Aug	1,101.48	4.0
CHALSON/MILLENIU	041	HD	SS	20,000	32.24	n/a	16-Aug	800.00	4.0
CONIFER/ISF	025	HPQ	B	10,000	23.47	n/a	n/a	400.00	4.0
SOROS	036	HPQ	SS	21,300	23.28	n/a	n/a	852.00	4.0
ROYCE TRADING	012	HUBB	B	2,500	49.99	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	INTC	C	100,000	19.70	n/a	n/a	4,000.00	4.0
ELM RIDGE ADVISORS	044	IP	B	320,300	23.67	n/a	4-Aug	12,812.00	4.0
HIGHBRIDGE CAP	041	JCP	SS	11,000	23.68	n/a	12-Aug	330.00	3.0
BNP PARIBAS SEC	040	KRA	B	10,000	21.87	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	297	KRC	S	22,100	35.02	n/a	n/a	884.00	4.0
ROYCE TRADING	012	LANC	B	1,000	54.89	n/a	n/a	50.00	5.0
CRAMER ROSENTHAL/SCOTT	012	LL	S	57,500	14.63	n/a	n/a	2,300.00	4.0
BMO NESBITT BURNS	041	LPX	B	2,000	6.06	n/a	5-Aug	80.00	4.0
PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.59	n/a	n/a	400.00	4.0
ROYCE TRADING	012	MDP	B	6,500	23.99	n/a	n/a	325.00	5.0
ROYCE TRADING	012	MLI	B	1,000	38.44	n/a	26-Jul	50.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MMI	B	75,000	37.90	n/a	n/a	3,750.00	5.0
BNP PARIBAS SEC	040	MMM	B	10,000	77.52	n/a	11-Aug	500.00	5.0
LATEFF MGMT	035	MMM	B	2,000	77.81	n/a	11-Aug	240.00	12.0
ROYCE TRADING	012	MTX	B	4,000	52.29	n/a	n/a	200.00	5.0
BASIX	033	NDN	B	28,000	16.59	n/a	9-Aug	840.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	NDN	B	2,100	16.40	n/a	9-Aug	42.00	2.0
CHALSON/MILLENIUM	041	NKE	B	1,600	80.19	n/a	1-Jul	64.00	4.0
NOMURA CAPITAL	029	NRG	S	12,225	21.41	n/a	n/a	611.25	5.0
ROYCE TRADING	012	NSR	B	3,000	23.20	n/a	n/a	150.00	5.0
ROYCE TRADING	012	OMI	B	1,000	27.11	n/a	n/a	50.00	5.0
HIGHBRIDGE CAP	041	ORLY	B	67,000	61.02	n/a	n/a	2,010.00	3.0
WEISS PECK	040	PAG	B	47,740	16.66	n/a	22-Jul	2,387.00	5.0
BASSWOOD PARTNERS	267	PCAR	SS	12,700	34.49	n/a	27-Jul	508.00	4.0
DAVIDSON INV ADV	035	PCAR	B	46,820	34.61	n/a	27-Jul	1,872.80	4.0
CHALSON/MILLENIUM	041	PENN	SS	15,000	36.05	n/a	n/a	600.00	4.0
SURVEYOR CAPITAL	041	PEP	S	48,204	62.10	n/a	n/a	1,446.12	3.0
ROYCE TRADING	012	PLCE	B	2,000	39.14	n/a	18-Aug	100.00	5.0
ROYCE TRADING	012	PLT	B	4,000	31.17	n/a	n/a	200.00	5.0
SURVEYOR CAPITAL	041	PM	B	43,091	69.19	n/a	n/a	1,292.73	3.0
SOROS	036	PXP	B	50,000	28.82	n/a	n/a	2,000.00	4.0
ROYCE TRADING	012	RBC	B	2,000	50.58	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FORTRESS INVESTMENT (US)	036	ROK	S	4,000	55.70	n/a	n/a	160.00	4.0	
ROYCE TRADING	012	SHLM	B	5,500	16.92	n/a	n/a	275.00	5.0	
ROYCE TRADING	012	SON	B	4,000	28.23	n/a	n/a	200.00	5.0	
HIGHBRIDGE CAP	041	SWY	B	31,273	17.12	n/a	n/a	938.19	3.0	
ROYCE TRADING	012	SXI	B	2,000	26.35	n/a	n/a	100.00	5.0	
ROYCE TRADING	012	TER	B	5,000	11.13	n/a	n/a	250.00	5.0	
HIGHBRIDGE CAP	041	TGT	B	3,000	50.62	n/a	17-Aug	90.00	3.0	
SURVEYOR CAPITAL	041	THOR	B	12,500	31.20	n/a	n/a	375.00	3.0	
ASCEND PARTNERS	033	TIN	C	27,748	24.62	n/a	4-Aug	832.44	3.0	
BMO NESBITT BURNS	041	TIN	B	25,000	24.38	n/a	4-Aug	1,250.00	5.0	
SONTERRA CAP	041	TIN	B	60,000	24.63	n/a	4-Aug	2,400.00	4.0	
DISIPLINED GROWTH INV.	030	TJX	B	8,200	53.08	n/a	17-Aug	410.00	5.0	
ROYCE TRADING	012	TNB	B	2,000	38.90	n/a	n/a	100.00	5.0	
ROYCE TRADING	012	TSS	B	540	16.63	n/a	n/a	27.00	5.0	
MILLENIUM ICS OPPORTUNITIES TONY060		TXT	B	20,000	15.23		n/a	n/a	600.00	3.0
SOROS	036	T	B	17,600	28.40	n/a	n/a	704.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	UNF	B	2,000	46.47	n/a	n/a	100.00	5.0
HIGHBRIDGE CAP	041	URBN	SS	30,000	26.52	n/a	n/a	900.00	3.0
DAVIDSON KEMPNER ADVISOR	040	VSEA	B	1,000	60.10	n/a	n/a	50.00	5.0
ROYCE TRADING	012	VSH	B	7,000	10.22	n/a	n/a	350.00	5.0
SOROS	036	VZ	B	14,200	35.22	n/a	n/a	568.00	4.0
LEVIN CAPITAL STRATEGIES	012	WMT	C	45,000	52.32	n/a	17-Aug	1,350.00	3.0
BNP PARIBAS SEC	040	WRC	B	20,000	46.61	n/a	2-Aug	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WSM	S	450,000	28.93	n/a	n/a	13,500.00	3.0
ROYCE TRADING	012	WSO	B	500	53.32	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	WY	S	10,000	16.13	n/a	29-Jul	400.00	4.0
ROYCE TRADING	012	ZBRA	B	1,000	32.01	n/a	n/a	50.00	5.0
TOTAL (Trade Date) :								101,009.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/18	BRONSON POINT (BRONFBCO)	036	JCOM	B	16,500	27.84	n/a	n/a	495.00 3.0
AO,	08/18	SONTERRA CAP (SONTGSRBUK)	041	TIN	B	20,000	25.64	n/a	4-Aug	800.00 4.0

TOTAL (AO, CXL, CRT) :	1,295.00
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TOTAL (Trade Date) :	101,009.28
TOTAL (AO, CXL, CRT) :	1,295.00

TOTAL (RUN DATE) / NFS:	102,304.28
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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