



Daily Compliance Activity Report

Trade Date: 07/20/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	ALR	B	11,000	26.38	n/a	n/a	440.00	4.0
MERU CAP PART LLC	036	AMTD	B	15,000	15.31	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	33.01	n/a	9-Jul	1,200.00	4.0
EXIS CAPITAL	044	ARO	SS	7,500	28.76	n/a	9-Jul	375.00	5.0
BUCK CAPITAL MGMT	001	AVP	B	50,000	28.23	n/a	12-Jul	2,000.00	4.0
OZ MGMT	040	AXL	S	171,802	7.97	n/a	15-Jul	5,154.06	3.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.12	n/a	n/a	800.00	4.0
1798 CAP/LOMBARD ASSET	040	CAM	B	14,000	37.36	n/a	n/a	700.00	5.0
NWQ INVESTMENT MGMT CO	048	CA	S	13,240	19.17	n/a	n/a	397.20	3.0
CATAPULT	040	CE	B	10,000	25.68	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	30,000	9.58	n/a	5-Feb	900.00	3.0
CATAPULT	040	CMC	B	20,000	13.45	n/a	n/a	1,000.00	5.0
WHITE PINE CAPITAL	030	COGO	S	14,780	6.44	n/a	n/a	739.00	5.0
PILOT ROCK	028	COH	SS	17,064	34.51	n/a	19-Jul	682.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENCHMARK	025	DAR	B	5,000	7.66	n/a	n/a	250.00	5.0
KENNEDY CAPITAL	046	DPZ	B	10,730	11.99	n/a	8-Jul	429.20	4.0
BROADARCH CAP/OLD NEWC	070	EMC	S	8,500	19.92	n/a	n/a	340.00	4.0
BALYASNY ASSET MGMT	044	FL	B	30,000	13.17	n/a	16-Jun	1,500.00	5.0
OZ MGMT	040	F	B	114,535	11.51	n/a	15-Jul	3,436.05	3.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	26.40	n/a	n/a	1,200.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	33.50	n/a	19-Jul	3,000.00	3.0
BALYASNY ASSET MGMT	044	GNTX	SS	75,000	18.86	n/a	15-Jul	3,750.00	5.0
SOUTH POINT CAP	067	GOOG	S	10,000	481.50	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	HD	C	20,000	27.15	n/a	20-Jul	1,000.00	5.0
GEORGE WEISS	034	HD	B	27,000	27.26	n/a	20-Jul	1,080.00	4.0
KADE CAPITAL LLC	036	HD	S	15,000	27.37	n/a	20-Jul	750.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		HD	S	20,000	27.18		n/a 20-Jul	1,000.00	5.0
MTB INV ADV	034	ICON	S	62,750	14.82	n/a	n/a	3,137.50	5.0
CRAMER ROSENTHAL/SCOTT	012	IPG	S	1,800	7.55	n/a	n/a	72.00	4.0
AVESTA CAP	229	IP	C	100,000	23.91	n/a	19-Jul	3,000.00	3.0
DIAMONDBACK CAP MGMT	232	IWM	C	8,000	61.12	n/a	n/a	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	IWM	SS	8,000	61.68	n/a	n/a	240.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	33.08	n/a	n/a	400.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	107,400	22.55	n/a	9-Jul	3,222.00	3.0
CRAMER ROSENTHAL/SCOTT	012	KEY	S	1,400	7.62	n/a	n/a	56.00	4.0
MERRILL ASSET/BLACKROCK	266	KFRC	B	54,100	12.62	n/a	n/a	2,164.00	4.0
LEVIN CAPITAL STRATEGIES	012	KSS	C	20,000	46.49	n/a	9-Jul	600.00	3.0
BROADARCH CAP/OLD NEWC	070	LVS	B	6,100	23.61	n/a	7-Jul	244.00	4.0
DENVER INST. ADV	046	MFB	B	20,000	21.04	n/a	n/a	800.00	4.0
1798 CAP/LOMBARD ASSET	040	MHK	B	15,000	44.11	n/a	n/a	750.00	5.0
TROUBH PART	067	MOT	B	25,000	7.99	n/a	n/a	1,250.00	5.0
CATAPULT	040	MUR	B	25,000	50.74	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	M	B	5,000	17.15	n/a	9-Jul	250.00	5.0
SAC CAPITAL/M GRONET	030	M	B	10,000	17.65	n/a	9-Jul	350.00	3.5
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	18.06	n/a	19-Jul	400.00	4.0
BENNETT LAWRENCE	028	NTAP	B	12,800	41.13	n/a	n/a	512.00	4.0
WEINTRAUB CAPITAL MGT.	040	NWY	B	25,000	2.20	n/a	n/a	500.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	PKG	S	4,000	24.07	n/a	20-Jul	280.00	7.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	35,000	23.75	n/a	20-Jul	1,750.00	5.0
KADE CAPITAL LLC	036	PKG	S	15,000	23.90	n/a	20-Jul	900.00	6.0
TRELLUS PARTNERS LP	028	PKG	S	22,600	23.70	n/a	20-Jul	1,130.00	5.0
LISTED ERR	099	PKG	B	1,000	24.63	n/a	20-Jul	0.00	0.0
LISTED ERR	099	PKG	S	1,000	23.70	n/a	20-Jul	0.00	0.0
CATAPULT	040	POT	B	5,000	97.54	n/a	n/a	250.00	5.0
CASTLEROCK	040	PVH	B	29,726	45.70	n/a	19-Jul	1,189.04	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	100,000	46.86	n/a	19-Jul	3,000.00	3.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	32.47	n/a	n/a	800.00	4.0
CONIFER/ISF	025	TEN	B	3,500	22.43	n/a	n/a	140.00	4.0
BALYASNY ASSET MGMT	044	TIF	C	25,000	39.37	n/a	n/a	1,250.00	5.0
PILOT ROCK	028	TIF	SS	30,393	38.76	n/a	n/a	1,215.72	4.0
BMO NESBITT BURNS	041	TIN	B	7,000	21.31	n/a	19-Jul	350.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	30,000	21.14	n/a	19-Jul	1,500.00	5.0
EXIS CAPITAL	044	TJX	SS	10,000	41.25	n/a	9-Jul	500.00	5.0
EXIS CAPITAL	044	TLB	B	15,000	10.13	n/a	n/a	750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	100,000	31.74	n/a	n/a	3,000.00	3.0
HARBORWATCH/DIAMBACK	232	TXT	B	25,000	17.65	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	URBN	C	50,000	32.73	n/a	n/a	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	USG	B	29,000	12.46	n/a	19-Jul	1,450.00	5.0
MILLENIUM PARTNERS	028	VCI	B	10,000	28.95	n/a	n/a	400.00	4.0
BENNETT LAWRENCE	028	VRX	B	13,950	53.85	n/a	n/a	558.00	4.0
SLS CAPITAL LLC	224	WL	B	100,000	10.94	n/a	n/a	3,000.00	3.0
JMP ASSET MGMT	210	WNI	B	12,770	7.26	n/a	n/a	510.80	4.0
CRAMER ROSENTHAL/SCOTT	012	WRC	S	300	36.14	n/a	19-Jul	12.00	4.0
EXIS CAPITAL	044	WRC	B	10,000	36.50	n/a	19-Jul	500.00	5.0
SAXON WOODS ADVISORS	242	WY	S	50,000	15.82	n/a	19-Jul	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	WY	B	200,000	15.93	n/a	19-Jul	8,000.00	4.0
IRIDIAN ASSET MGMT.	036	XRX	B	117,060	8.12	n/a	n/a	5,853.00	5.0
TOTAL (Trade Date) :								96,199.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/19	LISTED ERR (LISTED ERR)	099	KSU	S	2,000	34.26	n/a	n/a	0.00 0.0
AO,CRT	07/19	LISTED ERR (LISTED ERR)	099	KSU	S	2,000	34.35	n/a	n/a	0.00 0.0
AO,CXL	07/19	MTB INV ADV (MTBIMAIN O)	034	KSU	S	750	34.26	n/a	n/a	37.50 5.0
AO,CRT	07/19	MTB INV ADV (MTBIMAIN O)	034	KSU	S	750	34.25	n/a	n/a	37.50 5.0
AO,CXL	07/19	MTB INV ADV (MTBISMCAPI)	034	KSU	S	20,000	34.26	n/a	n/a	1000.00 5.0
AO,CRT	07/19	MTB INV ADV (MTBISMCAPI)	034	KSU	S	20,000	34.25	n/a	n/a	1000.00 5.0
AO,CRT	07/19	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	15,000	17.29	n/a	9-Jul	525.00 3.5
AO,CXL	07/19	SAC CAPITAL/M GRONET (SACJGSMG)	030	M	B	15,000	17.29	n/a	9-Jul	525.00 3.5
AO,CXL	07/19	SONTERRA CAP (SONTMSBULK)	041	NTY	S	109,932	53.42	n/a	n/a	4397.28 4.0
AO,CRT	07/19	SONTERRA CAP (SONTGSRUCK)	041	NTY	S	109,932	53.42	n/a	n/a	4397.28 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	96,199.13
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TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	96,199.13
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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