



Daily Compliance Activity Report

Trade Date: 07/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	AGN	B	3,000	65.87	n/a	12-Jul	300.00	10.0
COBALT	041	AXL	SS	200,000	7.90	n/a	13-Jul	6,000.00	3.0
OZ MGMT	040	AXL	S	114,534	7.91	n/a	13-Jul	3,436.02	3.0
BUCK CAPITAL MGMT	001	BC	B	30,000	14.40	n/a	n/a	1,200.00	4.0
CAERUS GLOBAL	041	BC	B	34,000	14.61	n/a	n/a	1,360.00	4.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.46	n/a	n/a	800.00	4.0
BASIX	033	BWA	S	21,000	41.75	n/a	30-Apr	630.00	3.0
STELLIAM INV ADV	034	CAL	S	20,000	24.00	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	59G	CFSG	B	6,843	8.90	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	COH	C	100,000	36.91	n/a	14-May	3,000.00	3.0
CRAMER ROSENTHAL/SCOTT	012	CVS	B	6,400	30.51	n/a	n/a	256.00	4.0
MARINER/TRICADIA	041	CXW	S	10,000	19.29	n/a	n/a	500.00	5.0
MARINER/TRICADIA	041	CYBX	S	20,000	23.27	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	DAN	S	10,000	11.08	n/a	7-Jul	500.00	5.0
BLACK RIVER ASSET MGMT	030	EEM	SS	62,600	40.13	n/a	n/a	2,504.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	FHN	B	35,000	12.44	n/a	n/a	1,750.00	5.0
EXIS CAPITAL	044	FINL	B	10,000	14.72	n/a	n/a	500.00	5.0
FRIESS MGMT	033	F	B	1,315,300	11.51	n/a	13-Jul	52,612.00	4.0
OZ MGMT	040	F	B	100,000	11.48	n/a	13-Jul	3,000.00	3.0
SIGMA CAP BOBBY	044	F	B	150,000	11.46	n/a	13-Jul	5,250.00	3.5
SIGMA CAPITAL ASSOCIATES	041	GPS	SS	50,000	18.82	n/a	n/a	1,750.00	3.5
EXIS CAPITAL	044	GYMB	SS	10,000	43.93	n/a	9-Jul	500.00	5.0
CASTLEROCK	040	HD	SS	95,151	28.37	n/a	30-Jun	3,806.04	4.0
MARINER/TRICADIA	041	IWM	B	10,000	63.75	n/a	n/a	500.00	5.0
UBS OCONNOR	031	JEF	SS	125,000	23.74	n/a	n/a	3,750.00	3.0
OHIO PERS	047	JNJ	B	16,000	60.85	n/a	n/a	480.00	3.0
HUNTER GLOBAL INVESTOR	067	JNS	S	251,730	10.17	n/a	n/a	7,551.90	3.0
BUCK CAPITAL MGMT	001	JWN	B	28,800	34.74	n/a	9-Jul	1,152.00	4.0
COPIA CAPITAL	031	KEG	C	150,000	9.38	n/a	6-Jul	5,250.00	3.5
WAGONHOUND/NIC	048	KMT	S	5,373	27.23	n/a	30-Apr	214.92	4.0
SAC CRIB	044	KNX	SS	25,000	21.01	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	KSS	C	100,000	47.91	n/a	9-Jul	3,000.00	3.0
EXIS CAPITAL	044	KSS	SS	7,500	47.56	n/a	9-Jul	375.00	5.0
JMP ASSET MGMT	210	LANC	SS	8,000	53.43	n/a	n/a	400.00	5.0
LOMBARDIA CAP MGMT	084	LFUS	B	6,663	33.76	n/a	n/a	319.65	4.9
TRELLUS PARTNERS LP	028	LVS	SS	40,000	23.73	n/a	7-Jul	2,000.00	5.0
ST OF MICHIAN	047	MON	S	280,000	52.17	n/a	1-Jul	8,400.00	3.0
UBS OCONNOR	031	MS	B	120,000	25.70	n/a	6-Jul	3,600.00	3.0
GLG PARTNERS	034	M	B	200,000	18.32	n/a	9-Jul	6,000.00	3.0
HIGHBRIDGE CAP	041	NKE	SS	45,000	70.60	n/a	n/a	1,800.00	4.0
ROYCE TRADING	012	PHH	B	5,000	19.25	n/a	n/a	250.00	5.0
ROYCE TRADING	012	PJC	B	5,000	30.25	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	PRX	S	3,000	29.05	n/a	12-Jul	300.00	10.0
THIRD COAST CAPITAL	035	RRD	B	15,000	17.08	n/a	n/a	750.00	5.0
SMITH MGMT LLC	029	SDRL	B	183,700	21.70	n/a	n/a	5,511.00	3.0
ROYCE TRADING	012	SFY	B	10,000	27.46	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	SPLS	SS	25,000	20.30	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARTNER REINSURANCE	033	SPLS	B	36,450	20.18	n/a	n/a	1,458.00	4.0
HOLDEN CAPITAL MGMT	035	THS	SS	30,000	48.02	n/a	n/a	1,500.00	5.0
US BANCORP	030	TKR	S	41,941	27.89	n/a	n/a	2,097.05	5.0
HUNTER GLOBAL INVESTOR	067	USB	S	200,000	24.34	n/a	n/a	10,000.00	5.0
COHE & STEERS	041	WY	S	59,500	40.69	n/a	28-Jun	2,380.00	4.0
CONIFER/ISF	025	XLFI	B	5,000	14.90	n/a	n/a	250.00	5.0
TOTAL (Trade Date):								163,818.58	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/12	SANDLER O'NEILL ASSET (SANOJPMBS)	031	C	S	44,160	4.05	n/a	6-Jul	883.20 2.0
AO,CRT	07/12	SANDLER O'NEILL ASSET (SANO)	031	C	S	44,160	4.05	n/a	6-Jul	883.20 2.0
AO,CRT	07/08	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	CPN	S	300	13.29	n/a	n/a	12.00 4.0
AO,CXL	07/08	PROSPECTOR PARTNERS LLC (PROSPG)	036	CPN	S	300	13.29	n/a	n/a	12.00 4.0
CRT	07/13	MARINER/TRICADIA (MARITRICAD)	041	IWM	B	8,982	63.75	n/a	n/a	449.10 5.0
CRT	07/13	JMP ASSET MGMT (JMPABOABA)	029	LANC	SS	5,101	53.43	n/a	n/a	255.05 5.0
AO,	07/09	GRUBER MACBAINE (GRBRJPM)	033	LOW	B	23,400	20.13	n/a	17-May	936.00 4.0
AO,CXL	07/09	GRUBER MACBAINE (GRBRMAIN)	033	LOW	B	24,000	20.13	n/a	17-May	960.00 4.0
AO,CRT	07/09	GRUBER MACBAINE (GRBRMAIN)	033	LOW	B	600	20.13	n/a	17-May	24.00 4.0
AO,CXL	07/12	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	10,000	18.03	n/a	9-Jul	350.00 3.5
AO,CRT	07/12	SAC CAPITAL/M GRONET (SACJCSPB)	030	M	B	10,000	18.03	n/a	9-Jul	175.00 0.0
AO,CXL	07/12	SAC CAPITAL/M GRONET (SACJCSPB)	030	URBN	SS	20,000	33.60	n/a	n/a	700.00 3.5
AO,CRT	07/12	SAC CAPITAL/M GRONET (SACJCSPB)	030	URBN	SS	20,000	33.60	n/a	n/a	350.00 0.0
TOTAL (AO, CXL, CRT) :										179.15
TOTAL (Trade Date):										163,818.58
TOTAL (AO, CXL, CRT):										179.15
TOTAL (RUN DATE) / NFS:										163,997.73

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