



## Daily Compliance Activity Report

Trade Date: 08/04/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON INV ADV	035	ADS	S	16,475	94.17	n/a	n/a	659.00	4.0
PILOT ADV	041	AHL	S	37,950	24.68	n/a	n/a	1,138.50	3.0
DAVIDSON INV ADV	035	ATI	B	30,440	51.53	n/a	n/a	1,217.60	4.0
HUNTER GLOBAL INVESTOR	028	AXL	B	130,000	9.87	n/a	1-Aug	3,900.00	3.0
BALLAST CAP	040	BC	S	12,000	18.91	n/a	n/a	600.00	5.0
BALLAST CAP	040	BGC	B	5,000	33.60	n/a	n/a	250.00	5.0
PERRY PARTNERS	085	BP	B	50,000	41.35	n/a	n/a	2,500.00	5.0
BARROW HANLEY MEWHINNEY	031	CCL	B	202,500	30.78	n/a	n/a	7,087.50	3.5
CHALSON	041	CCL	SS	12,000	31.06	n/a	n/a	480.00	4.0
PROSPECTOR PARTNERS LLC	036	CGI	B	10,790	12.59	n/a	n/a	431.60	4.0
SURVEYOR CAPITAL	041	COP	SS	1,900	67.86	n/a	n/a	57.00	3.0
IRIDIAN ASSET MGMT.	036	CSX	SS	48,520	23.08	n/a	n/a	1,455.60	3.0
BALYASNY ASSET MGMT	044	CTB	B	75,000	11.86	n/a	n/a	3,750.00	5.0
MERRILL ASSET/BLACKROCK	297	CYT	B	11,500	49.77	n/a	n/a	460.00	4.0
MACQUARIE INVESTMENT MGMT.	040	DAN	B	25,000	13.73	n/a	29-Jul	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	DDS	SS	45,000	54.37	n/a	n/a	1,800.00	4.0
SANDLER CAPITAL	028	DISCK	S	150,000	33.34	n/a	n/a	6,000.00	4.0
CHALSON	041	DMND	B	6,000	67.88	n/a	n/a	240.00	4.0
GLENHILL CAPITAL	036	FL	SS	60,517	19.86	n/a	2-Aug	3,025.85	5.0
O CAPITAL MGMT	029	FOR	B	10,000	14.96	n/a	19-Jul	500.00	5.0
OZ MGMT	040	F	S	300,000	11.40	n/a	3-Aug	9,000.00	3.0
DAVIDSON KEMPNER ADVISOR	040	GDXJ	C	22,094	36.17	n/a	n/a	1,104.70	5.0
LATEFF MGMT	035	GLW	B	1,000	14.60	n/a	3-Aug	100.00	10.0
OZ MGMT	040	GM	S	55,000	26.47	n/a	3-Aug	1,650.00	3.0
JP MORGAN VENTURES	046	GPS	B	10,000	17.50	n/a	n/a	300.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GT	SS	50,000	14.13	n/a	n/a	0.00	0.0
CHALSON	041	HOG	B	8,000	40.19	n/a	n/a	320.00	4.0
PRIMECAP MGMT	084	JNJ	B	89,000	62.51	n/a	n/a	3,560.00	4.0
BASIX	033	JNY	B	45,000	11.56	n/a	28-Jul	1,350.00	3.0
INVESCO	031	KR	B	1,400,000	23.91	n/a	n/a	56,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Nilsa Vazquez		LEA	B	250	43.7700	n/a	14-Jul	0.00	0.0
PRIMECAP MGMT	084	LIFE	B	51,000	43.31	n/a	n/a	2,040.00	4.0
PRIMECAP MGMT	084	LLY	S	9,000	36.63	n/a	n/a	360.00	4.0
LATEFF MGMT	035	LOW	B	1,500	20.24	n/a	3-Aug	150.00	10.0
DC CAPITAL	044	LPX	B	25,000	6.83	n/a	19-Jul	1,000.00	4.0
CHALSON	041	MGM	B	7,500	13.30	n/a	13-Jun	300.00	4.0
KLEINHEINZ CAP PART	031	MJN	B	50,000	69.70	n/a	n/a	2,500.00	5.0
SURVEYOR CAPITAL	041	MSI	SS	1,200	42.05	n/a	n/a	36.00	3.0
BASIX	033	MTW	B	25,000	11.77	n/a	28-Jul	750.00	3.0
SCOPUS FUND	041	MWV	S	261,659	28.06	n/a	27-Jul	10,466.36	4.0
MERRILL ASSET/BLACKROCK	297	NDSN	S	16,100	46.00	n/a	n/a	644.00	4.0
CHALSON	041	NKE	B	4,000	84.79	n/a	1-Jul	160.00	4.0
LATEFF MGMT	035	NKE	B	600	83.22	n/a	1-Jul	90.00	15.0
TALPION LLC	040	NKE	S	10,000	83.21	n/a	1-Jul	400.00	4.0
CYPRESS CAP MGMT LLC	040	ODP	B	20,000	3.42	n/a	n/a	800.00	4.0
MACQUARIE INVESTMENT MGMT.	040	PTEN	B	10,000	28.32	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	QEP	SS	28,816	39.55	n/a	n/a	864.48	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>20,000</b>	<b>125.27</b>	<b>n/a</b>	<b>18-Jul</b>	<b>600.00</b>	<b>3.0</b>
ELM RIDGE ADVISORS	044	RYN	B	75,000	59.59	n/a	1-Aug	3,000.00	4.0
AMBER CAPITAL	046	SNV	S	349,932	1.65	n/a	n/a	3,499.32	1.0
NEUBERGER BERMAN	036	TEX	S	87,150	17.92	n/a	22-Jul	3,486.00	4.0
CHALSON	041	TFM	B	7,000	33.68	n/a	n/a	280.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TGT	B	5,000	49.85	n/a	4-Aug	0.00	0.0
BMO NESBITT BURNS	041	TIN	B	10,000	26.49	n/a	4-Aug	400.00	4.0
CHALSON	041	TPX	B	7,000	66.26	n/a	n/a	280.00	4.0
NOMURA CAPITAL	029	TXI	SS	10,000	37.56	n/a	n/a	300.00	3.0
CHALSON	041	ULTA	B	8,000	59.19	n/a	n/a	320.00	4.0
PRIMECAP MGMT	084	V	B	7,000	85.42	n/a	28-Jul	280.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>WCRX</b>	<b>B</b>	<b>750</b>	<b>18.7773</b>	<b>n/a</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	297	WSO	S	8,600	56.89	n/a	n/a	344.00	4.0
CHALSON	041	XLY	SS	13,000	37.05	n/a	n/a	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHALSON	041	XRT	SS	10,000	49.86	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date):</b>							<b>143,207.51</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/03	JENNISON (JENN8116JP)	070	PCS	B	2,265	10.22	n/a	n/a	83.81	3.7
AO,	08/03	JENNISON (JENN8116JP)	070	PCS	B	510	10.22	n/a	n/a	18.87	3.7
AO,CXL	08/03	JENNISON (JENN8161)	070	PCS	B	510	10.22	n/a	n/a	18.87	3.7
AO,CXL	08/03	JENNISON (JENN8161)	070	PCS	B	2,265	10.22	n/a	n/a	83.81	3.7

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

143,207.51

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****143,207.51**

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