



Daily Compliance Activity Report

Trade Date: 07/29/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	AEO	B	50,000	13.08	n/a	26-May	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	10,000	72.98	n/a	28-Jul	350.00	3.5
IMPALA ASSET MMT	012	ANR	S	58,717	42.61	n/a	n/a	2,935.85	5.0
HOLLIS CAPITAL	033	AVP	B	5,000	26.34	n/a	29-Jul	250.00	5.0
FORWARD MGMT	033	BABY	S	30,000	11.52	n/a	n/a	1,200.00	4.0
CHESAPEAKE PARTNERS	028	BAC	S	100,000	9.90	n/a	19-Jul	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	BAC	B	500,000	9.84	n/a	19-Jul	20,000.00	4.0
AMBER CAPITAL	046	BBY	B	71,168	27.68	n/a	n/a	2,846.72	4.0
SAGE ASSET MGMT	012	BZ	S	167,500	7.01	n/a	n/a	8,375.00	5.0
IMPALA ASSET MMT	012	CBT	B	100,000	39.16	n/a	27-Jul	4,000.00	4.0
MERRILL ASSET/BLACKROCK	297	CFR	S	20,000	53.93	n/a	n/a	800.00	4.0
SCOPUS FUND	041	CF	S	26,917	155.48	n/a	n/a	1,076.68	4.0
ROSEDALE CAPITAL	046	CHK	S	10,000	34.43	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	CHSI	B	9,800	63.71	n/a	n/a	392.00	4.0
FORWARD MGMT	033	CJES	S	10,000	31.00	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	CLB	B	70,000	108.42	n/a	21-Jul	3,500.00	5.0
TUDOR INVESTORS	028	CMI	B	10,000	105.06	n/a	27-Jul	300.00	3.0
NEUBERGER BERMAN	036	CPSI	B	16,700	74.25	n/a	n/a	668.00	4.0
CYPRESS CAP MGMT LLC	040	CROX	S	20,400	31.10	n/a	n/a	816.00	4.0
IMPALA ASSET MMT	012	CSX	B	190,000	24.60	n/a	n/a	7,600.00	4.0
PRIMECAP MGMT	084	CVS	B	6,000	36.40	n/a	n/a	240.00	4.0
GRANITE CAPITAL	028	DECK	B	4,000	97.26	n/a	n/a	200.00	5.0
BNP PARIBAS SEC	040	DKS	B	20,000	36.88	n/a	18-May	1,000.00	5.0
SONTERRA CAP	041	EMN	SS	30,000	95.81	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	ETN	S	93,240	47.94	n/a	25-Jul	3,729.60	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	100,000	21.72	n/a	2-Jun	3,000.00	3.0
BMO NESBITT BURNS	041	FRED	SS	7,000	13.08	n/a	n/a	350.00	5.0
GRANITE CAPITAL	028	GES	S	10,000	38.30	n/a	18-Jul	500.00	5.0
TUDOR INVESTORS	028	GMT	B	8,000	38.99	n/a	n/a	240.00	3.0
TUDOR INVESTORS	028	GMT	SS	3,000	39.41	n/a	n/a	90.00	3.0
IMPALA ASSET MMT	012	HOG	S	57,200	42.79	n/a	n/a	2,860.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	HP	B	141,900	68.88	n/a	n/a	7,095.00	5.0
CASTLEROCK	040	HSP	B	32,885	51.40	n/a	27-Jul	1,315.40	4.0
RAINIER INV MGMT	035	HS	B	74,240	40.91	n/a	n/a	2,969.60	4.0
TUDOR INVESTORS	028	HUBB	B	5,000	60.02	n/a	n/a	150.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	29.90	n/a	28-Jul	3,250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	IRM	B	20,000	31.34	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	ITT	S	10,000	53.71	n/a	4-May	300.00	3.0
TUDOR INVESTORS	028	ITW	B	5,000	49.75	n/a	27-Jul	150.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	54.47	n/a	28-Jul	875.00	3.5
NEUBERGER BERMAN	036	LDR	S	5,142	56.54	n/a	n/a	205.68	4.0
PRIMECAP MGMT	084	LIFE	B	31,704	44.86	n/a	n/a	1,268.16	4.0
DC CAPITAL	044	LPX	B	25,000	7.73	n/a	19-Jul	1,000.00	4.0
NEUBERGER BERMAN	036	LXU	B	29,100	39.36	n/a	n/a	1,164.00	4.0
KENNEDY CAPITAL	046	MED	B	11,500	18.66	n/a	n/a	460.00	4.0
LOCUS WOOD CAPITAL MGMT	044	MPC	S	15,000	43.98	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	M	S	70,000	28.64	n/a	28-Jul	2,800.00	4.0
BMO NESBITT BURNS	041	NDN	B	2,000	19.80	n/a	15-Jul	100.00	5.0
IMPALA ASSET MMT	012	PCAR	S	108,953	42.77	n/a	27-Jul	5,447.65	5.0
TUDOR INVESTORS	028	PH	SS	3,000	79.29	n/a	28-Apr	90.00	3.0
PRIMECAP MGMT	084	REXX	B	4,000	10.95	n/a	n/a	160.00	4.0
MERRILL ASSET/BLACKROCK	297	RE	B	6,500	82.43	n/a	n/a	260.00	4.0
TUDOR INVESTORS	028	RKT	S	5,000	61.51	n/a	27-Jul	150.00	3.0
STRONG/WELLS CAP ANN F	047	RLD	S	36,604	15.36	n/a	n/a	1,464.16	4.0
MACQUARIE INVESTMENT MGMT.	040	ROST	B	2,500	75.17	n/a	n/a	0.00	0.0
COHE & STEERS	041	RYN	B	78,500	64.46	n/a	19-Jul	3,140.00	4.0
TUDOR INVESTORS	028	SPW	S	3,000	75.39	n/a	n/a	90.00	3.0
JANA CAPITAL	044	SPY	SS	94,274	129.91	n/a	n/a	3,770.96	4.0
LOCUS WOOD CAPITAL MGMT	044	SUN	B	20,000	40.46	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	SVU	S	8,000	8.66	n/a	n/a	400.00	5.0
IMPALA ASSET MMT	012	SWK	B	75,800	65.21	n/a	n/a	3,790.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	4.22	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	TGI	B	17,900	49.63	n/a	n/a	716.00	4.0
CAERUS GLOBAL	041	TGT	B	5,200	50.98	n/a	7-Jul	208.00	4.0
TUDOR INVESTORS	028	TRN	S	3,000	29.41	n/a	n/a	90.00	3.0
LOCUS WOOD CAPITAL MGMT	044	TRV	B	7,000	55.17	n/a	n/a	280.00	4.0
TRUSTCO/SUNTRUST	040	TXN	B	28,400	29.88	n/a	n/a	994.00	3.5
IMPALA ASSET MMT	012	UFS	S	47,774	79.60	n/a	n/a	2,388.70	5.0
SCOPUS FUND	041	WRC	S	7,700	53.44	n/a	18-Jul	308.00	4.0
SONTERRA CAP	041	WRC	B	20,000	53.00	n/a	18-Jul	800.00	4.0
TOTAL (Trade Date):								125,070.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/28	YORK CAPITAL (YORKDB)	036	MAS	S	1,390	10.85	n/a	n/a	41.70 3.0
AO,CXL	07/28	YORK CAPITAL (&YORKDB)	036	MAS	S	1,390	10.85	n/a	n/a	41.70 3.0
AO,CXL	07/28	BASIX (BASIBARC)	033	MTW	B	15,800	13.87	n/a	28-Jul	632.00 4.0
AO,CRT	07/28	BASIX (BASIBARC)	033	MTW	B	15,800	13.87	n/a	28-Jul	474.00 3.0
AO,CXL	07/28	BASIX (BASIUBS)	033	MTW	B	23,200	13.87	n/a	28-Jul	928.00 4.0
AO,CRT	07/28	BASIX (BASIUBS)	033	MTW	B	23,200	13.87	n/a	28-Jul	696.00 3.0
AO,	07/28	YORK CAPITAL (YORKDB)	036	TYC	S	1,036	45.33	n/a	29-Jul	31.08 3.0
AO,CXL	07/28	YORK CAPITAL (&YORKDB)	036	TYC	S	1,036	45.33	n/a	29-Jul	31.08 3.0
TOTAL (AO, CXL, CRT) :										-390.00

TOTAL (Trade Date):	125,070.16
TOTAL (AO, CXL, CRT):	-390.00

TOTAL (RUN DATE) / NFS:	124,680.16
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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