



## Daily Compliance Activity Report

Trade Date: 07/18/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	AEO	C	50,000	13.51	n/a	26-May	2,000.00	4.0
ARCHON CAPITAL	035	ALGN	B	31,300	23.10	n/a	n/a	939.00	3.0
TALPION LLC	040	ALSK	C	7,100	7.98	n/a	n/a	213.00	3.0
JP MORGAN VENTURES	046	ANN	S	10,000	26.72	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	AOS	B	10,600	40.47	n/a	6-Jun	318.00	3.0
RIDGECREST INV MGMT LLC	028	AXE	S	2,500	63.46	n/a	22-Jun	125.00	5.0
COOPER CREEK PART	028	AXL	B	50,000	11.13	n/a	14-Jul	2,000.00	4.0
SANDLER CAPITAL	028	BEBE	B	280,000	7.71	n/a	n/a	11,200.00	4.0
COLUMBUS CIRCLE	036	CIEN	S	8,200	15.35	n/a	n/a	328.00	4.0
SANDLER O'NEILL ASSET	031	C	B	25,000	38.23	n/a	18-Jul	500.00	2.0
TUDOR INVESTORS	028	EXPD	SS	3,000	48.74	n/a	n/a	90.00	3.0
OZ MGMT	040	F	S	181,740	13.00	n/a	14-Jul	5,452.20	3.0
WOOSTER CAPITAL	035	F	B	50,000	12.81	n/a	14-Jul	2,500.00	5.0
TUDOR INVESTORS	028	GDI	B	2,000	82.64	n/a	n/a	60.00	3.0
MERRILL ASSET/BLACKROCK	297	GEOI	B	5,600	25.55	n/a	n/a	224.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	GIL	SS	100,000	33.20	n/a	18-Jul	3,500.00	3.5
OZ MGMT	040	GM	SS	50,000	29.39	n/a	14-Jul	1,500.00	3.0
TUDOR INVESTORS	028	GR	B	4,000	91.62	n/a	7-Jul	120.00	3.0
ARMATURE CAPITAL	041	GT	S	50,000	17.37	n/a	n/a	2,000.00	4.0
BRONSON POINT	036	GT	B	10,000	17.38	n/a	n/a	300.00	3.0
SCOPUS FUND	041	HBI	B	20,400	32.04	n/a	18-Jul	816.00	4.0
PROSPECTOR PARTNERS LLC	036	HES	B	20,000	72.26	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	HUBB	B	2,000	62.70	n/a	n/a	60.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	29.28	n/a	14-Jul	1,500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	IR	B	25,000	43.84	n/a	19-May	1,000.00	4.0
MFP INVESTORS	085	JNS	B	5,000	8.65	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	KO	S	15,000	67.08	n/a	18-Jul	0.00	0.0
SONTERRA CAP	041	LOW	S	75,000	22.42	n/a	13-Jun	3,000.00	4.0
AVESTA CAP	229	NFLX	S	25,000	278.51	n/a	n/a	750.00	3.0
Ñ Nilsa Vazquez		NLY	B	1000	17.8890	n/a	n/a	0.00	0.0
SCOPUS FUND	041	NWL	S	40,000	15.10	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	PEP	B	5,000	67.91	n/a	n/a	0.00	0.0
SCOPUS FUND	041	PH	B	25,000	85.85	n/a	28-Apr	1,000.00	4.0
TUDOR INVESTORS	028	PH	B	3,000	85.88	n/a	28-Apr	90.00	3.0
SOROS	036	RBA	SS	60,000	28.19	n/a	n/a	2,400.00	4.0
SENATOR INVESTMENT GROUP	036	RKT	S	50,000	59.95	n/a	n/a	1,500.00	3.0
LONG OAR GLOBAL INV	040	RSH	SS	159,100	12.46	n/a	n/a	6,364.00	4.0
TUDOR INVESTORS	028	SWK	B	5,000	68.58	n/a	n/a	150.00	3.0
NEWLAND CAPITAL MGT	025	TEU	S	50,000	10.81	n/a	n/a	2,000.00	4.0
TUDOR INVESTORS	028	TRN	B	5,000	33.29	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	TSO	C	104,900	23.18	n/a	n/a	5,245.00	5.0
RIDGECREST INV MGMT LLC	028	VGK	SS	10,000	49.54	n/a	n/a	500.00	5.0
1798 CAP/LOMBARD ASSET	040	VLO	C	109,650	25.06	n/a	n/a	5,482.50	5.0
RIDGECREST INV MGMT LLC	028	XLI	S	10,000	35.96	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>68,876.70</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									68,876.70
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									68,876.70
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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