



Daily Compliance Activity Report

Trade Date: 08/05/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	S	300	374.15	n/a	n/a	9.00	3.0
TUDOR INVESTORS	028	ABH	SS	4,700	16.41	n/a	n/a	141.00	3.0
EPOCH INV MGMT	030	ABT	S	1,850	50.32	n/a	n/a	55.50	3.0
EPOCH INV MGMT	030	AET	S	2,350	37.54	n/a	n/a	70.50	3.0
EPOCH INV MGMT	030	AMAT	S	3,800	11.46	n/a	n/a	114.00	3.0
EPOCH INV MGMT	030	AMP	S	2,350	47.38	n/a	n/a	70.50	3.0
CASTLEROCK	040	AMZN	B	30,817	202.67	n/a	n/a	1,232.68	4.0
CYRUS CAPITAL	025	AWI	B	25,000	33.10	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	AWI	B	5,000	34.81	n/a	n/a	150.00	3.0
TRELLUS PARTNERS LP	028	AXL	C	100,000	9.61	n/a	1-Aug	3,000.00	3.0
EPOCH INV MGMT	030	AXP	S	1,650	47.45	n/a	5-Aug	49.50	3.0
EPOCH INV MGMT	030	BA	S	1,650	62.74	n/a	29-Jul	49.50	3.0
EPOCH INV MGMT	030	BEN	S	400	118.09	n/a	2-Mar	12.00	3.0
EPOCH INV MGMT	030	BLK	S	350	162.28	n/a	n/a	10.50	3.0
MA CAPITAL MGMT/MELLON ADV041		BODY	B	10,000	19.61	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Nilsa Vazquez		BZH	B	2000	2.2100	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	CAT	SS	5,000	90.76	n/a	25-Jul	150.00	3.0
AMBER CAPITAL	046	CHTR	S	167,908	45.98	n/a	n/a	6,716.32	4.0
CYRUS CAPITAL	025	CIT	B	70,000	34.78	n/a	26-Jul	2,100.00	3.0
CYRUS CAPITAL	025	DD	SS	20,000	45.98	n/a	28-Jul	600.00	3.0
SURVEYOR CAPITAL	041	DE	B	3,000	71.19	n/a	19-May	90.00	3.0
NEUBERGER BERMAN	036	DFT	B	16,300	22.30	n/a	n/a	652.00	4.0
SANDLER CAPITAL	028	DISCK	S	50,000	32.84	n/a	n/a	2,000.00	4.0
ENTRUST CAPITAL	040	EAT	B	30,100	21.84	n/a	5-Aug	1,505.00	5.0
NEUBERGER BERMAN	036	EQY	B	21,300	17.07	n/a	n/a	852.00	4.0
Õ Nilsa Vazquez		ERJ	B	300	24.0320	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	ETN	S	2,000	41.25	n/a	25-Jul	60.00	3.0
BMO NESBITT BURNS	041	FL	B	5,000	18.80	n/a	2-Aug	200.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	FL	B	10,000	18.60	n/a	2-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	34.20	n/a	18-Jul	300.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	9,500	25.98	n/a	5-Aug	285.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GS	B	35,000	128.39	n/a	19-Jul	1,050.00	3.0
ACK ASSET	028	HBI	B	6,900	27.32	n/a	21-Jul	207.00	3.0
BALLAST CAP	040	HNZ	B	12,400	50.58	n/a	n/a	620.00	5.0
SENATOR INVESTMENT GROUP	036	HUN	S	100,000	12.64	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	ITT	S	15,000	49.03	n/a	4-May	450.00	3.0
THE JAY GOLDMAN	028	JCP	B	25,000	27.79	n/a	5-Aug	1,000.00	4.0
TRUSTCO/SUNTRUST	040	JPM	B	25,000	38.60	n/a	14-Jul	875.00	3.5
BUCK CAPITAL MGMT	001	JWN	B	150,000	43.56	n/a	5-Aug	4,500.00	3.0
NEUBERGER BERMAN	036	KRC	B	10,500	34.38	n/a	n/a	420.00	4.0
INVESCO	031	KR	B	500,948	23.62	n/a	n/a	20,037.92	4.0
THE JAY GOLDMAN	028	KSS	SS	15,000	46.94	n/a	5-Aug	600.00	4.0
BASIX	033	LEA	B	7,000	44.35	n/a	5-Aug	210.00	3.0
OZ MGMT	040	LEA	S	67,901	42.37	n/a	5-Aug	2,037.03	3.0
TUDOR INVESTORS	028	LEA	B	5,000	43.12	n/a	5-Aug	150.00	3.0
TUDOR INVESTORS	028	LEA	S	3,000	44.40	n/a	5-Aug	90.00	3.0
ASCEND PARTNERS	033	LMT	SS	25,000	73.02	n/a	27-Jul	1,000.00	4.0
TUDOR INVESTORS	028	MHK	SS	2,000	49.22	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	MMM	SS	10,000	82.00	n/a	3-Aug	500.00	5.0
SURVEYOR CAPITAL	041	MSI	SS	3,000	40.72	n/a	n/a	90.00	3.0
DELTEC ASSET MGMT.	040	MTW	S	22,000	11.33	n/a	28-Jul	1,100.00	5.0
TUDOR INVESTORS	028	MTW	B	10,000	11.31	n/a	28-Jul	300.00	3.0
BMO NESBITT BURNS	041	NKE	B	2,000	84.00	n/a	1-Jul	80.00	4.0
SCOPUS FUND	041	NLSN	S	1,100	27.17	n/a	n/a	44.00	4.0
LATEFF MGMT	035	NUE	B	2,250	35.25	n/a	n/a	387.00	20.4
TUDOR INVESTORS	028	OC	S	5,000	28.55	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	21,237	63.43	n/a	18-Jul	637.11	3.0
DELTEC ASSET MGMT.	040	RRR	B	25,000	9.48	n/a	22-Jul	1,250.00	5.0
ELM RIDGE ADVISORS	044	RYN	B	39,000	57.90	n/a	1-Aug	1,560.00	4.0
WALL STREET CAPITAL	084	SBUX	S	5,000	36.12	n/a	29-Jul	225.00	4.5
FARALLON CAP MGMT	040	SCHW	B	75,000	13.70	n/a	n/a	2,250.00	3.0
APEX CAPITAL MGMT.	261	SD	S	75,000	8.11	n/a	n/a	2,250.00	3.0
BRIGADE CAPITAL MGMT	029	SMH	SS	50,000	29.28	n/a	n/a	1,500.00	3.0
Õ Nilsa Vazquez		TACT	B	1000	10.5000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	TGT	S	25,000	48.51	n/a	4-Aug	750.00	3.0
TALKOT CAPITAL LLC	084	TIN	B	40,000	26.55	n/a	4-Aug	1,600.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	B	15,000	26.61		n/a 4-Aug	600.00	4.0
TUDOR INVESTORS	028	URI	B	5,000	17.52	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	URI	SS	5,000	18.65	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	VMC	SS	3,000	33.51	n/a	n/a	90.00	3.0
BAIRD INVESTMENT	047	WBC	B	10,725	51.75	n/a	1-Aug	536.25	5.0
EPOCH INV MGMT	030	WRC	B	32,900	50.47	n/a	2-Aug	987.00	3.0
BMO NESBITT BURNS	041	WWW	SS	3,000	35.89	n/a	n/a	120.00	4.0
TOTAL (Trade Date) :								75,838.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/04	BASIX (BASIBARC)	033	JNY	B	26,800	11.56	n/a	28-Jul	804.00 3.0
AO,CRT	08/04	BASIX (BASIBARC)	033	JNY	B	18,200	11.56	n/a	28-Jul	546.00 3.0
AO,CXL	08/04	BASIX (BASIUBS)	033	JNY	B	18,200	11.56	n/a	28-Jul	546.00 3.0
AO,CRT	08/04	BASIX (BASIUBS)	033	JNY	B	26,800	11.56	n/a	28-Jul	804.00 3.0
AO,	08/04	NCM CAPITAL MGMT (NCMC72578)	035	NCR	S	2,780	18.24	n/a	n/a	111.20 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCECKEF5)	035	NCR	S	58,000	18.24	n/a	n/a	2320.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCTPL1)	035	NCR	S	9,100	18.24	n/a	n/a	364.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCTC20)	035	NCR	S	96,200	18.24	n/a	n/a	3848.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC221905)	035	NCR	S	18,900	18.24	n/a	n/a	756.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC26338)	035	NCR	S	9,500	18.24	n/a	n/a	380.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCT248)	035	NCR	S	9,150	18.24	n/a	n/a	366.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC265947)	035	NCR	S	3,700	18.24	n/a	n/a	148.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC238361)	035	NCR	S	3,950	18.24	n/a	n/a	158.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC703672)	035	NCR	S	7,000	18.24	n/a	n/a	280.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC2764)	035	NCR	S	14,400	18.24	n/a	n/a	576.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC474068)	035	NCR	S	1,500	18.24	n/a	n/a	60.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC474188)	035	NCR	S	221	18.24	n/a	n/a	8.84 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC89V011)	035	NCR	S	3,650	18.24	n/a	n/a	146.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC891J2)	035	NCR	S	8,200	18.24	n/a	n/a	328.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCMIDCAP)	035	NCR	S	425	18.24	n/a	n/a	17.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMC803MID)	035	NCR	S	2,850	18.24	n/a	n/a	114.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCNBREVA)	035	NCR	S	2,350	18.24	n/a	n/a	94.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCPROMID)	035	NCR	S	3,250	18.24	n/a	n/a	130.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCPRBOEI)	035	NCR	S	7,350	18.24	n/a	n/a	294.00 4.0
AO,	08/04	NCM CAPITAL MGMT (NCMCPALMBE)	035	NCR	S	2,000	18.24	n/a	n/a	80.00 4.0
TOTAL (AO, CXL, CRT) :										10,579.04

TOTAL (Trade Date):	75,838.31
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TOTAL (RUN DATE) / NFS:	86,417.35
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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