



Daily Compliance Activity Report

Trade Date: 07/28/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ADM	C	30,000	27.90	n/a	22-Jun	1,500.00	5.0
CAMBIAR CAP	046	ADM	S	50,000	27.76	n/a	22-Jun	2,000.00	4.0
CAMBIAR CAP	046	APA	S	20,000	94.54	n/a	21-Jul	800.00	4.0
EXIS CAPITAL	044	ARO	SS	2,500	29.80	n/a	9-Jul	125.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	25,000	28.80	n/a	9-Jul	875.00	3.5
NEUBERGER BERMAN	036	ASTE	S	11,600	30.65	n/a	n/a	464.00	4.0
1798 CAP/LOMBARD ASSET	040	AWI	S	17,000	35.51	n/a	n/a	850.00	5.0
MERRILL ASSET/BLACKROCK	266	BEC	B	5,000	46.00	n/a	n/a	200.00	4.0
SONTERRA CAP	041	BP	S	20,000	37.75	n/a	n/a	800.00	4.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.82	n/a	n/a	800.00	4.0
BASIX	033	BWA	S	22,000	42.05	n/a	23-Jul	660.00	3.0
Õ Nilsa Vazquez		BWLD	S	125	44.0000	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	CCL	S	2,000	34.70	n/a	n/a	80.00	4.0
NOMURA CAPITAL	029	CMCSK	S	9,443	18.53	n/a	n/a	283.29	3.0
EXIS CAPITAL	044	CRI	B	10,000	26.93	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	CTCT	S	10,375	22.32	n/a	n/a	518.75	5.0
MTB INV ADV	034	DGIT	S	4,150	39.75	n/a	n/a	207.50	5.0
CHILTON CAPITAL MGMT.	036	DHI	SS	100,000	10.71	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	DIN	SS	10,000	38.21	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	DVA	B	23,600	59.16	n/a	n/a	944.00	4.0
SF SENTRY	085	ENR	SS	7,500	59.71	n/a	28-Jul	375.00	5.0
1798 CAP/LOMBARD ASSET	040	EP	S	55,000	12.64	n/a	n/a	2,750.00	5.0
NCM CAPITAL MGMT	035	ESL	S	12,891	51.41	n/a	n/a	515.64	4.0
BUCK CAPITAL MGMT	001	FDO	B	160,000	41.90	n/a	7-Jul	6,400.00	4.0
MILLENIUM PARTNERS	028	F	SS	30,000	12.98	n/a	26-Jul	1,200.00	4.0
OZ MGMT	040	IP	S	75,000	24.40	n/a	28-Jul	2,250.00	3.0
BALYASNY ASSET MGMT	044	JNY	B	25,000	17.06	n/a	19-Jul	1,250.00	5.0
EXIS CAPITAL	044	JNY	B	15,000	17.04	n/a	19-Jul	750.00	5.0
JP MORGAN VENTURES	046	JNY	B	20,000	16.92	n/a	19-Jul	1,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	33.60	n/a	9-Jul	800.00	4.0
NEUBERGER BERMAN	036	LAYN	S	8,800	25.81	n/a	n/a	352.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	LULU	SS	30,000	40.23	n/a	n/a	1,500.00	5.0
ROYCE TRADING	012	LVS	B	36,700	26.71	n/a	26-Jul	1,835.00	5.0
Õ Ravi Sadarangani		LVS	S	100	26.7600	n/a	26-Jul	0.00	0.0
TRELLUS PARTNERS LP	028	LVS	SS	20,000	26.08	n/a	26-Jul	1,000.00	5.0
CASTLEROCK	040	MGM	B	540,126	11.22	n/a	7-Jul	21,605.04	4.0
EVERCORE WEALTH MGMT	012	MHS	S	18,550	47.17	n/a	n/a	927.50	5.0
WAGONHOUND/NIC	289	PAG	B	12,643	13.70	n/a	23-Jul	505.72	4.0
COUGAR TRADING	044	PFCB	SS	5,000	43.06	n/a	28-Jul	250.00	5.0
1798 CAP/LOMBARD ASSET	040	PKG	S	14,000	24.36	n/a	20-Jul	700.00	5.0
MERRILL ASSET/BLACKROCK	266	PMC	B	25,000	13.44	n/a	n/a	1,000.00	4.0
CAMBIAR CAP	046	PM	S	50,000	51.27	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	16.45	n/a	n/a	2,000.00	4.0
KENNEDY CAPITAL	046	PSUN	S	38,764	4.06	n/a	n/a	775.28	2.0
CAMBIAR CAP	046	PTV	S	27,000	31.00	n/a	n/a	1,080.00	4.0
RBC CAPITAL MARKETS	040	PTV	S	2,500	30.98	n/a	n/a	100.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	50.80	n/a	19-Jul	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	15,000	50.60	n/a	19-Jul	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	PVH	B	5,800	50.57	n/a	19-Jul	174.00	3.0
NEUBERGER BERMAN	036	RBN	S	34,000	23.63	n/a	n/a	1,360.00	4.0
CAVU CAP ADV	028	RSH	S	20,000	20.21	n/a	n/a	1,000.00	5.0
COBALT	041	SJM	S	50,000	62.38	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	SKX	B	40,000	35.66	n/a	n/a	2,000.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	S	50,000	13.13	n/a	n/a	2,500.00	5.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	45,000	48.30	n/a	27-Jul	1,575.00	3.5
MACKLOWE ASSET MGMT	041	TLB	B	25,000	11.48	n/a	n/a	1,000.00	4.0
WHITE PINE CAPITAL	030	WDR	S	6,400	24.50	n/a	2-Mar	320.00	5.0
PEREGRINE	030	WRC	B	25,000	42.51	n/a	19-Jul	1,000.00	4.0
JP MORGAN VENTURES	046	XRT	SS	10,000	38.28	n/a	n/a	300.00	3.0
TOTAL (Trade Date) :								82,357.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/27	MADISON ST PARTNERS LLC (MADIJPM)	046	DPZ	B	1,474	13.71	n/a	27-Jul	73.70 5.0
AO,CXL	07/27	MADISON ST PARTNERS LLC (MADIGS)	046	DPZ	B	100,000	13.71	n/a	27-Jul	4000.00 4.0
AO,CRT	07/27	MADISON ST PARTNERS LLC (MADIGS)	046	DPZ	B	98,526	13.71	n/a	27-Jul	4926.30 5.0
AO,CXL	07/27	TRELLUS PARTNERS LP (TRELMAIN)	028	TIN	B	20,000	22.21	n/a	27-Jul	1000.00 5.0
AO,CRT	07/27	TRELLUS PARTNERS LP (TRELMAIN)	028	TIN	B	20,000	22.21	n/a	27-Jul	600.00 3.0
AO,CXL	07/26	TRELLUS PARTNERS LP (TRELMAIN)	028	TIN	SS	10,000	22.62	n/a	27-Jul	0.00 0.0
AO,CRT	07/26	TRELLUS PARTNERS LP (TRELMAIN)	028	TIN	SS	10,000	22.62	n/a	27-Jul	500.00 5.0
TOTAL (AO, CXL, CRT) :										1,100.00
TOTAL (Trade Date) :										82,357.72
TOTAL (AO, CXL, CRT) :										1,100.00
TOTAL (RUN DATE) / NFS:										83,457.72

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