



Daily Compliance Activity Report

Trade Date: 07/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC COHEN	044	AGCO	SS	25,600	48.16	n/a	27-Apr	896.00	3.5
CADIAN CAPITAL	041	ANF	S	30,000	73.07	n/a	19-May	900.00	3.0
PILOT ADV	041	ANF	B	2,000	73.87	n/a	19-May	60.00	3.0
PZENA INV ADV	044	BDX	S	100,688	87.10	n/a	n/a	3,524.13	3.5
SANDLER CAPITAL	028	BEBE	B	220,000	7.61	n/a	n/a	8,800.00	4.0
SENATOR INVESTMENT GROUP	036	CLX	B	100,000	73.61	n/a	20-Jun	3,000.00	3.0
BALLAST CAP	040	COT	B	10,000	8.41	n/a	n/a	300.00	3.0
SOROS	036	DNDN	B	125,000	38.76	n/a	n/a	5,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	EFX	B	223,800	34.23	n/a	n/a	8,952.00	4.0
BNP PARIBAS SEC	040	FOE	SS	20,000	13.51	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	FOE	B	25,000	13.66	n/a	n/a	1,000.00	4.0
LISTED ERR	099	FOE	B	3,140	13.50	n/a	n/a	0.00	0.0
LISTED ERR	099	FOE	S	3,140	13.50	n/a	n/a	0.00	0.0
MILLENNIUM-ICS BOBBY	044	F	B	5,000	13.13	n/a	14-Jul	150.00	3.0
OZ MGMT	040	F	S	200,000	13.07	n/a	14-Jul	4,500.00	2.3
WOOSTER CAPITAL	035	F	B	50,000	13.09	n/a	14-Jul	2,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GIS	B	5,000	37.68	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	GLW	B	25,000	16.69	n/a	15-Jul	1,250.00	5.0
CATAPULT	040	GM	SS	18,200	29.77	n/a	14-Jul	728.00	4.0
CATAPULT	040	GM	S	300	29.81	n/a	14-Jul	12.00	4.0
SUFFOLK CAPITAL MGMT	040	HBAN	S	73,200	6.16	n/a	n/a	2,928.00	4.0
IVORY CAPITAL	034	INFY	SS	9,100	61.25	n/a	n/a	273.00	3.0
BMO NESBITT BURNS	041	IP	SS	36,000	29.84	n/a	14-Jul	1,800.00	5.0
SAC COHEN	044	IP	B	300	29.70	n/a	14-Jul	10.50	3.5
MFP INVESTORS	085	JNS	B	17,200	8.78	n/a	n/a	688.00	4.0
PZENA INV ADV	044	JPM	B	1,550	39.73	n/a	14-Jul	54.26	3.5
MACQUARIE INVESTMENT MGMT.	040	KMB	B	5,000	66.79	n/a	20-Jun	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MAT	B	100,000	27.22	n/a	n/a	3,500.00	3.5
DALTON GREINER	012	MLI	S	16,760	45.36	n/a	27-Apr	838.00	5.0
SOROS	036	MSI	S	225,000	43.79	n/a	n/a	9,000.00	4.0
IVORY CAPITAL	034	MWW	S	90,000	13.15	n/a	n/a	4,500.00	5.0
KLEINHEINZ CAP PART	031	M	S	20,000	29.84	n/a	8-Jul	1,000.00	5.0
GOLD SACHS SPECIAL SIT	030	PFCB	S	51,600	40.44	n/a	11-Jul	2,580.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	RGC	B	25,000	11.58	n/a	n/a	875.00	3.5
SOROS	036	RL	S	85,000	134.29	n/a	26-May	3,400.00	4.0
PILOT ADV	041	SHW	B	5,500	83.32	n/a	27-May	165.00	3.0
NEWLAND CAPITAL MGT	025	TEU	S	38,007	10.77	n/a	n/a	1,520.28	4.0
RBC CAPITAL MARKETS	040	TGT	SS	20,000	51.01	n/a	7-Jul	800.00	4.0
BALYASNY ASSET MGMT	044	TIN	B	25,000	31.11	n/a	14-Jul	1,250.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	99,600	31.11	n/a	14-Jul	3,984.00	4.0
SAC COHEN	044	TYC	B	9,300	47.83	n/a	28-Apr	325.50	3.5
CHESAPEAKE PARTNERS	028	VRX	S	20,000	54.78	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	55.34	n/a	6-May	1,500.00	3.0
T. ROWE PRICE	033	WY	B	203,700	21.68	n/a	14-Jul	8,148.00	4.0
TOTAL (Trade Date) :								92,311.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	CWH	B	10,000	23.70	n/a	n/a	300.00 3.0
AO,CRT	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	CWH	B	10,000	23.70	n/a	n/a	500.00 5.0
CRT	07/15	WOOSTER CAPITAL (WOOSGOLDMA)	035	F	B	50,000	13.09	n/a	14-Jul	2500.00 5.0
AO,CXL	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	PDM	B	10,000	20.50	n/a	n/a	300.00 3.0
AO,CRT	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	PDM	B	10,000	20.50	n/a	n/a	500.00 5.0
AO,CRT	07/14	BUCK CAPITAL MGMT (BUCKJPMBS)	001	PVH	S	18,200	72.14	n/a	2-Jun	546.00 3.0
AO,CXL	07/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	PVH	S	18,200	72.14	n/a	2-Jun	546.00 3.0
AO,CXL	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	RLJ	B	10,000	17.40	n/a	n/a	300.00 3.0
AO,CRT	07/14	STATE TEACHERS RET SYS (STRSMAIN)	047	RLJ	B	10,000	17.40	n/a	n/a	500.00 5.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798CSF)	040	RSH	SS	400	12.89	n/a	n/a	20.00 5.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798GS)	040	RSH	SS	24,600	12.89	n/a	n/a	1230.00 5.0
AO,CXL	07/14	COBALT (COBAJPM)	041	TSN	B	98,500	18.66	n/a	n/a	3940.00 4.0
AO,CRT	07/14	COBALT (COBAUBS)	041	TSN	B	98,500	18.66	n/a	n/a	3940.00 4.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798CSF)	040	YUM	B	200	56.50	n/a	14-Jul	10.00 5.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798CSF)	040	YUM	B	200	56.44	n/a	14-Jul	10.00 5.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798GS)	040	YUM	B	9,800	56.50	n/a	14-Jul	490.00 5.0
AO,	07/14	1798 CAP/LOMBARD ASSET (1798GS)	040	YUM	B	14,800	56.44	n/a	14-Jul	740.00 5.0
TOTAL (AO, CXL, CRT) :										5,600.00

TOTAL (Trade Date):	92,311.67
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TOTAL (RUN DATE) / NFS:	97,911.67
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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