



Daily Compliance Activity Report

Trade Date: 08/09/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Abram Chappel		AAPL	B	13366	39.00	n/a	n/a	0.00	0.0
Õ Abram Chappel		ABX	S	140	46.0436	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ACIW	B	16,100	29.87	n/a	n/a	644.00	4.0
HIGHBRIDGE CAP	041	AEO	B	90,244	11.26	n/a	26-May	2,707.32	3.0
HIGHBRIDGE CAP	041	ANF	B	8,000	63.94	n/a	5-Aug	240.00	3.0
THIRD COAST CAPITAL	035	ANN	S	48,000	20.61	n/a	n/a	2,400.00	5.0
TUDOR INVESTORS	028	ARG	S	5,000	59.31	n/a	28-Jul	150.00	3.0
PIIONEER PATH	028	ARIA	B	100,000	8.45	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	AXP	SS	47,500	43.08	n/a	5-Aug	2,375.00	5.0
HIGHBRIDGE CAP	041	BBBY	B	10,000	51.42	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	BID	B	10,000	33.08	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	BKS	S	25,000	15.02	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	BK	S	593,215	20.31	n/a	9-Aug	23,728.60	4.0
COOPER CREEK PART	028	BZ	B	25,000	4.95	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CHSI	B	20,500	47.42	n/a	n/a	820.00	4.0
TALPION LLC	040	CL	C	5,000	82.37	n/a	1-Aug	200.00	4.0
SCOPUS FUND	041	COLM	S	25,000	51.78	n/a	n/a	1,000.00	4.0
SURVEYOR CAPITAL	041	COL	B	10,650	47.38	n/a	2-Aug	319.50	3.0
TUDOR INVESTORS	028	COL	SS	10,000	47.40	n/a	2-Aug	300.00	3.0
KLEINHEINZ CAP PART	031	CVS	B	50,000	32.82	n/a	n/a	2,500.00	5.0
SANDLER O'NEILL ASSET	031	C	S	25,000	30.95	n/a	9-Aug	1,250.00	5.0
CYPRESS CAP MGMT LLC	040	DKS	B	37,100	30.60	n/a	18-May	1,484.00	4.0
HIGHBRIDGE CAP	041	DKS	S	16,900	30.63	n/a	18-May	507.00	3.0
THIRD COAST CAPITAL	035	EXAS	B	15,000	6.18	n/a	n/a	750.00	5.0
ROARING BLUE LION MGMT	012	FDO	B	6,600	44.88	n/a	1-Jul	264.00	4.0
SONTERRA CAP	041	FLO	S	30,000	20.36	n/a	n/a	1,200.00	4.0
MUTUAL OF AMERICA CAPITAL	029	F	S	80,335	10.79	n/a	3-Aug	3,213.40	4.0
SCOPUS FUND	041	GDI	S	21,036	68.18	n/a	n/a	841.44	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	32.17	n/a	18-Jul	300.00	3.0
SONTERRA CAP	041	GE	B	100,000	15.42	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Abram Chappel		GG	S	140	46.2220	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	GPS	B	31,636	15.99	n/a	n/a	949.08	3.0
AVESTA CAP	229	HD	B	200,000	29.18	n/a	5-Aug	6,000.00	3.0
NOKOMIS PARTNERS	031	HD	B	23,500	29.32	n/a	5-Aug	705.00	3.0
IRIDIAN ASSET MGMT.	036	HPQ	S	5,060	31.00	n/a	n/a	253.00	5.0
PIONEER PATH	028	INCY	S	75,000	13.42	n/a	n/a	2,250.00	3.0
CONIFER/ISF	025	INTC	S	10,000	20.18	n/a	n/a	500.00	5.0
M&I FUNDS	047	INTC	B	6,617	20.16	n/a	n/a	264.68	4.0
BMO NESBITT BURNS	041	IP	B	2,000	24.06	n/a	4-Aug	80.00	4.0
TALPION LLC	040	IWM	C	15,000	67.89	n/a	n/a	600.00	4.0
TALPION LLC	040	JNY	C	20,000	9.58	n/a	28-Jul	600.00	3.0
PZENA INV ADV	044	KEY	B	32,300	6.68	n/a	n/a	1,130.52	3.5
TALPION LLC	040	K	C	10,000	51.67	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	LEA	B	900	40.65	n/a	5-Aug	36.00	4.0
SURVEYOR CAPITAL	041	LEA	B	12,249	42.47	n/a	5-Aug	367.47	3.0
SURVEYOR CAPITAL	041	LMT	SS	1,451	69.24	n/a	27-Jul	43.53	3.0
IRIDIAN ASSET MGMT.	036	LSI	B	262,570	6.45	n/a	n/a	13,128.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	LZ	S	20,000	134.01	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	MAT	B	50,000	23.70	n/a	n/a	1,750.00	3.5
TALPION LLC	040	MCD	B	10,000	84.04	n/a	8-Aug	400.00	4.0
PIONEER PATH	028	MGM	S	10,000	10.91	n/a	13-Jun	300.00	3.0
THOMAS WEISEL ASSET MGMT	035	MHGC	S	12,308	5.09	n/a	n/a	369.24	3.0
PIONEER PATH	028	MO	B	100,000	24.62	n/a	n/a	3,000.00	3.0
THOMAS WEISEL ASSET MGMT	035	MSPD	B	10,599	5.89	n/a	n/a	317.97	3.0
HARVEST MGMT	029	NDN	B	10,000	17.30	n/a	9-Aug	400.00	4.0
WHITE PINE CAPITAL	030	NDN	B	29,250	17.17	n/a	9-Aug	1,462.50	5.0
SURVEYOR CAPITAL	041	NOC	SS	1,932	51.73	n/a	29-Jul	57.96	3.0
M&I FUNDS	047	ORCL	B	5,083	26.10	n/a	n/a	203.32	4.0
BMO NESBITT BURNS	041	PCH	S	6,000	31.36	n/a	27-Jul	240.00	4.0
BAIRD INVESTMENT	047	PCP	B	1,404	144.91	n/a	29-Jul	70.20	5.0
CYPRESS CAP MGMT LLC	040	PETM	B	14,500	39.36	n/a	n/a	580.00	4.0
HIGHBRIDGE CAP	041	PETM	B	13,666	39.36	n/a	n/a	409.98	3.0
TUDOR INVESTORS	028	PH	S	3,000	63.91	n/a	3-Aug	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	PKG	B	3,000	22.12	n/a	4-Aug	120.00	4.0
ROARING BLUE LION MGMT	012	PLCE	B	4,165	38.20	n/a	8-Jun	166.60	4.0
ROYCE TRADING	012	PLCE	B	800	38.14	n/a	8-Jun	40.00	5.0
TUDOR INVESTORS	028	PPG	B	4,000	73.84	n/a	28-Jul	120.00	3.0
NEUBERGER BERMAN	036	PRAA	B	15,000	67.80	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	RSG	S	10,000	25.03	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	041	RTN	S	2,537	39.85	n/a	29-Jul	76.11	3.0
TUDOR INVESTORS	028	RTN	SS	3,000	40.11	n/a	29-Jul	90.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	7,000	53.85	n/a	1-Aug	280.00	4.0
SENATOR INVESTMENT GROUP	036	SHW	SS	30,000	71.40	n/a	3-Aug	900.00	3.0
WEISS PECK	040	SLM	B	13,300	12.21	n/a	9-Aug	665.00	5.0
Õ Abram Chappel		SLW	S	100	34.4200	n/a	n/a	0.00	0.0
Õ Abram Chappel		SLW	S	65	34.4200	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	SPLS	B	42,200	12.96	n/a	n/a	2,110.00	5.0
PZENA INV ADV	044	SPLS	B	64,800	12.93	n/a	n/a	2,268.01	3.5
ROARING BLUE LION MGMT	012	SSI	B	14,200	15.44	n/a	n/a	568.00	4.0
FIRST NEW YORK NICK	029	S	S	5,000	3.28	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	TDG	S	5,000	78.04	n/a	n/a	150.00	3.0
NOMURA CAPITAL	029	TXI	B	10,000	33.59	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	041	TXT	SS	32,500	16.59	n/a	n/a	975.00	3.0
SURVEYOR CAPITAL	041	TXT	S	17,500	16.60	n/a	n/a	525.00	3.0
HIGHBRIDGE CAP	041	URBN	B	10,000	27.20	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	UTX	B	3,000	68.70	n/a	n/a	90.00	3.0
SYSTEMATIC FINANCIAL MGT	035	WAG	S	151,700	35.67	n/a	n/a	4,551.00	3.0
TUDOR INVESTORS	028	WM	B	10,000	28.98	n/a	n/a	300.00	3.0
HIGHBRIDGE CAP	041	WSM	B	9,000	30.67	n/a	n/a	270.00	3.0
SCOPUS FUND	041	XLI	B	42,600	30.02	n/a	n/a	1,704.00	4.0
TUDOR INVESTORS	028	X	SS	5,000	29.58	n/a	n/a	150.00	3.0
TOTAL (Trade Date) :								112,871.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/09	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	DKS	B	33,700	30.60	n/a	18-May	1348.00 4.0
AO,	08/08	NORTHWESTERN MUTUAL LIFE (NMLX602841)	047	EFA	S	110,000	50.74	n/a	n/a	2200.00 2.0
CRT	08/09	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	PETM	B	13,200	39.36	n/a	n/a	528.00 4.0
TOTAL (AO, CXL, CRT) :										4,076.00

TOTAL (Trade Date) :	112,871.93
TOTAL (AO, CXL, CRT) :	4,076.00

TOTAL (RUN DATE) / NFS :	116,947.93
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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