



## Daily Compliance Activity Report

Trade Date: 07/28/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	AGCO	B	10,000	48.23	n/a	27-Apr	500.00	5.0
CATAPULT	040	AGCO	SS	4,508	47.84	n/a	27-Apr	180.32	4.0
MACQUARIE INVESTMENT MGMT.	040	AME	S	7,500	43.54	n/a	n/a	0.00	0.0
CATAPULT	040	AOS	S	4,400	42.23	n/a	19-Jul	176.00	4.0
CATAPULT	040	ARII	S	6,531	23.34	n/a	n/a	261.24	4.0
PZENA INV ADV	044	ARO	B	575	17.51	n/a	20-May	20.13	3.5
CATAPULT	040	ASH	S	2,540	63.26	n/a	28-Jul	101.60	4.0
IMPALA ASSET MMT	012	AWAY	S	31,700	40.49	n/a	n/a	1,585.00	5.0
CATAPULT	040	AWI	S	7,707	40.39	n/a	n/a	308.28	4.0
TUDOR INVESTORS	028	AXL	B	20,000	10.75	n/a	14-Jul	600.00	3.0
PIONEER PATH	028	BAC	SS	102,266	9.79	n/a	19-Jul	3,067.98	3.0
CATAPULT	040	BC	S	10,400	22.56	n/a	n/a	416.00	4.0
CATAPULT	040	BECN	S	14,040	21.33	n/a	n/a	561.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>42.84</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
CENTURION PARTNERS	041	BP	B	20,000	45.07	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	CBE	B	3,000	54.86	n/a	26-Apr	90.00	3.0
CATAPULT	040	CBT	S	7,600	40.02	n/a	27-Jul	304.00	4.0
CATAPULT	040	CMI	S	2,306	108.14	n/a	27-Jul	92.24	4.0
TUDOR INVESTORS	028	DAN	S	20,000	16.45	n/a	14-Jul	600.00	3.0
LATEFF MGMT	035	ENR	S	350	80.71	n/a	28-Jul	70.00	20.0
ARCHON CAPITAL	035	EQIX	S	10,000	105.69	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	ETN	B	3,000	49.07	n/a	25-Jul	90.00	3.0
TUDOR INVESTORS	028	EXPD	SS	3,000	48.15	n/a	n/a	90.00	3.0
ASCEND PARTNERS	033	FL	B	75,000	22.01	n/a	2-Jun	3,750.00	5.0
SAC ADV/LEE/PECK	044	FTI	B	25,000	46.32	n/a	n/a	875.00	3.5
NOKOMIS PARTNERS	031	FXI	SS	15,000	42.42	n/a	n/a	450.00	3.0
LATEFF MGMT	035	F	B	500	12.42	n/a	27-Jul	50.00	10.0
SASCO	033	GEN	S	91,000	3.92	n/a	n/a	2,730.00	3.0
LATEFF MGMT	035	GE	B	1,000	18.17	n/a	n/a	100.00	10.0
SIGMA CAPITAL ASSOCIATES	041	GIL	SS	25,000	32.72	n/a	18-Jul	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERCHANTS GATE CAP LP	036	GLT	SS	25,000	15.07	n/a	n/a	1,000.00	4.0
TUDOR INVESTORS	028	GMT	SS	3,000	39.22	n/a	n/a	90.00	3.0
MILLENNIUM-ICS BOBBY	044	GPI	B	5,000	48.08	n/a	27-Jul	150.00	3.0
PZENA INV ADV	044	GS	S	2,325	136.69	n/a	19-Jul	81.38	3.5
TUDOR INVESTORS	028	GT	B	13,800	17.07	n/a	n/a	414.00	3.0
PARAMETER CAPITAL MGMT LLC	044	GW	B	9,406	150.96	n/a	19-Jul	376.24	4.0
SAC ADV/LEE/PECK	044	HAL	SS	20,000	55.48	n/a	n/a	700.00	3.5
TUDOR INVESTORS	028	HSC	B	3,000	28.31	n/a	28-Apr	90.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	IP	SS	5,000	31.07	n/a	28-Jul	250.00	5.0
OZ MGMT	040	IP	S	125,000	30.76	n/a	28-Jul	3,750.00	3.0
TUDOR INVESTORS	028	IP	SS	5,000	31.15	n/a	28-Jul	150.00	3.0
MERRILL ASSET/BLACKROCK	297	IVC	B	2,200	30.72	n/a	n/a	88.00	4.0
CAERUS GLOBAL	041	JAH	B	38,500	30.90	n/a	n/a	1,540.00	4.0
SCOPUS FUND	041	JCP	SS	25,000	31.19	n/a	28-Jul	1,000.00	4.0
TUDOR INVESTORS	028	JCP	SS	25,000	31.76	n/a	28-Jul	750.00	3.0
TUDOR INVESTORS	028	KMT	S	10,000	41.75	n/a	29-Apr	300.00	3.0
SAC CHICAGO ANDREW	031	KR	B	100,000	24.88	n/a	n/a	3,500.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	55.10	n/a	28-Jul	875.00	3.5
NEUBERGER BERMAN	036	LDR	S	4,670	57.30	n/a	n/a	186.80	4.0
PRIMECAP MGMT	084	LIFE	B	7,000	46.37	n/a	n/a	280.00	4.0
THE JAY GOLDMAN	028	LTD	B	40,000	37.85	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	LXU	B	20,900	40.42	n/a	n/a	836.00	4.0
YORK CAPITAL	036	MAS	S	250,000	10.85	n/a	n/a	7,500.00	3.0
KENNEDY CAPITAL	046	MED	B	25,000	20.00	n/a	n/a	1,000.00	4.0
PZENA INV ADV	044	MSFT	S	10,978	27.61	n/a	n/a	384.24	3.5
BASIX	033	MTW	B	39,000	13.87	n/a	28-Jul	1,560.00	4.0
PRIMECAP MGMT	084	MUR	S	15,752	63.25	n/a	n/a	630.08	4.0
TUDOR INVESTORS	028	MWV	B	2,000	31.40	n/a	27-Jul	60.00	3.0
PILOT ADV	041	M	S	25,000	29.17	n/a	28-Jul	750.00	3.0
THE JAY GOLDMAN	028	M	S	40,000	29.55	n/a	28-Jul	1,600.00	4.0
TUDOR INVESTORS	028	NUE	B	5,000	39.47	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	OC	S	5,000	35.99	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	ODFL	S	5,000	37.11	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	OSK	S	20,000	25.42	n/a	n/a	1,000.00	5.0
TUDOR INVESTORS	028	OSK	S	5,000	25.00	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	PCL	B	5,000	38.65	n/a	27-Jul	150.00	3.0
PZENA INV ADV	044	PNC	S	4,366	54.91	n/a	n/a	152.82	3.5
CAERUS GLOBAL	041	PNRA	B	2,500	115.80	n/a	28-Jul	100.00	4.0
PZENA INV ADV	044	PPG	S	4,250	86.10	n/a	28-Jul	148.75	3.5
BAIRD INVESTMENT	047	RDC	B	8,300	39.52	n/a	n/a	415.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	B	2,500	62.68	n/a	27-Jul	125.00	5.0
TRELLUS PARTNERS LP	028	RKT	B	30,000	62.55	n/a	27-Jul	1,500.00	5.0
TUDOR INVESTORS	028	RKT	B	2,000	62.01	n/a	27-Jul	60.00	3.0
STRONG/WELLS CAP ANN F	047	RLD	S	40,000	18.43	n/a	n/a	1,600.00	4.0
COHE & STEERS	041	RYN	B	98,151	64.61	n/a	19-Jul	3,926.04	4.0
PZENA INV ADV	044	SHW	S	3,300	78.29	n/a	28-Jul	115.51	3.5
RIDGECREST INV MGMT LLC	028	SKX	B	20,000	17.05	n/a	n/a	1,000.00	5.0
AVESTA CAP	229	SNDK	S	50,000	41.88	n/a	n/a	1,500.00	3.0
PZENA INV ADV	044	SPLS	S	8,200	15.96	n/a	n/a	287.01	3.5
PZENA INV ADV	044	STT	S	5,425	42.01	n/a	19-Jul	189.88	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	TAP	S	8,575	45.43	n/a	n/a	300.13	3.5
PZENA INV ADV	044	TEL	S	6,875	35.36	n/a	n/a	240.63	3.5
TUDOR INVESTORS	028	TEX	SS	10,000	22.40	n/a	22-Jul	300.00	3.0
TUDOR INVESTORS	028	TRN	B	3,000	31.61	n/a	n/a	90.00	3.0
YORK CAPITAL	036	TYC	S	150,000	45.33	n/a	28-Apr	4,500.00	3.0
LATEFF MGMT	035	UAL	B	1,000	17.17	n/a	n/a	100.00	10.0
PZENA INV ADV	044	UBS	S	22,225	16.35	n/a	n/a	777.88	3.5
COBALT	041	UFS	B	100,000	83.76	n/a	n/a	4,000.00	4.0
IMPALA ASSET MMT	012	UFS	S	50,000	83.19	n/a	n/a	2,500.00	5.0
TUDOR INVESTORS	028	UNP	B	11,000	103.80	n/a	n/a	330.00	3.0
TUDOR INVESTORS	028	UPS	B	3,000	69.78	n/a	n/a	90.00	3.0
BAIRD INVESTMENT	047	WLL	B	6,925	56.95	n/a	n/a	346.25	5.0
NEUBERGER BERMAN	036	WLL	S	186,900	54.76	n/a	n/a	7,476.00	4.0
PZENA INV ADV	044	XOM	S	5,508	81.86	n/a	n/a	192.78	3.5
TUDOR INVESTORS	028	X	S	5,000	40.78	n/a	n/a	150.00	3.0
PZENA INV ADV	044	ZMH	S	200	60.61	n/a	n/a	7.00	3.5

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**TOTAL (Trade Date):**

**85,106.81**

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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):									85,106.81
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									85,106.81
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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