



Daily Compliance Activity Report

Trade Date: 07/07/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	ADM	SS	10,457	30.99	n/a	17-Jun	313.71	3.0
SCOPUS FUND	041	AEO	B	50,000	14.00	n/a	26-May	2,000.00	4.0
MTB INV ADV	034	AGCO	S	11,475	51.29	n/a	27-Apr	573.75	5.0
SURVEYOR CAPITAL	041	AJG	S	11,882	28.96	n/a	n/a	356.46	3.0
SURVEYOR CAPITAL	041	ALV	S	7,129	79.39	n/a	27-Jun	213.87	3.0
SURVEYOR CAPITAL	041	AME	S	18,537	46.26	n/a	n/a	556.11	3.0
CADIAN CAPITAL	041	ANF	B	50,000	73.97	n/a	19-May	1,500.00	3.0
PIONEER PATH	028	ARO	SS	25,000	18.47	n/a	20-May	750.00	3.0
RIDGECREST INV MGMT LLC	028	AXE	B	15,000	68.01	n/a	22-Jun	750.00	5.0
MILLENNIUM-ICS BOBBY	044	AXL	SS	20,000	11.85	n/a	7-Jul	600.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	25,000	11.77	n/a	7-Jul	1,250.00	5.0
TUDOR INVESTORS	028	AXL	SS	15,000	11.79	n/a	7-Jul	450.00	3.0
MATRIX ASSET ADV.	091	AXP	S	2,000	53.47	n/a	6-Jul	80.00	4.0
DELTEC ASSET MGMT.	040	BDC	S	1,290	37.82	n/a	n/a	64.50	5.0
CRAMER ROSENTHAL/SCOTT	012	BHI	S	269,210	74.38	n/a	n/a	10,768.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	BWA	SS	40,000	81.51	n/a	29-Apr	1,600.00	4.0
SURVEYOR CAPITAL	041	BWA	S	3,204	81.31	n/a	29-Apr	96.12	3.0
PIONEER PATH	028	CAKE	S	15,000	33.72	n/a	21-Apr	450.00	3.0
SURVEYOR CAPITAL	041	CAT	S	9,981	112.10	n/a	2-May	299.43	3.0
TUDOR INVESTORS	028	CAT	B	3,000	111.72	n/a	2-May	90.00	3.0
KENNEDY CAPITAL	046	CBK	S	25,050	7.00	n/a	n/a	751.50	3.0
TRUST CO OF THE WEST/NY	040	CBS	S	200	29.28	n/a	n/a	10.00	5.0
TRUST CO/COWEN/CALF.	040	CBS	S	14,925	29.28	n/a	n/a	746.25	5.0
SURVEYOR CAPITAL	041	CHRW	S	6,179	81.64	n/a	n/a	185.37	3.0
SIGMA CAPITAL ASSOCIATES	041	CHS	B	25,000	16.24	n/a	5-Feb	875.00	3.5
SURVEYOR CAPITAL	041	CMI	S	6,179	109.47	n/a	27-Apr	185.37	3.0
TUDOR INVESTORS	028	CMI	S	5,000	109.24	n/a	27-Apr	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	COST	SS	2,000	82.28	n/a	n/a	0.00	0.0
PIONEER PATH	028	COST	B	10,000	82.03	n/a	n/a	300.00	3.0
ROSEDALE CAPITAL	046	C	S	25,000	42.58	n/a	1-Jul	1,250.00	5.0
SEVEN LOCKS CAPITAL	025	DAN	B	21,700	18.86	n/a	25-May	651.00	3.0
TUDOR INVESTORS	028	DAN	B	10,000	18.96	n/a	25-May	300.00	3.0
KLEINHEINZ CAP PART	031	DD	B	50,000	55.85	n/a	30-Jun	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	DHR	B	74,200	55.17	n/a	n/a	2,968.00	4.0
SURVEYOR CAPITAL	041	DOV	S	9,506	69.86	n/a	n/a	285.18	3.0
MATRIX ASSET ADV.	091	EBAY	S	1,500	33.28	n/a	n/a	60.00	4.0
SURVEYOR CAPITAL	041	ECL	S	7,605	56.98	n/a	2-Jun	228.15	3.0
SURVEYOR CAPITAL	041	EMR	S	16,731	58.04	n/a	n/a	501.93	3.0
SURVEYOR CAPITAL	041	ETN	S	17,111	52.63	n/a	16-Jun	513.33	3.0
SURVEYOR CAPITAL	041	FCX	S	4,753	55.00	n/a	n/a	142.59	3.0
LISTED ERR	099	FCX	B	4,753	55.00	n/a	n/a	0.00	0.0
LISTED ERR	099	FCX	S	4,753	54.66	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	FDX	S	6,654	97.54	n/a	n/a	199.62	3.0
TRUST CO OF THE WEST/NY	040	FL	S	13,532	23.96	n/a	2-Jun	541.28	4.0
TRUST CO/COWEN/CALF.	040	FL	S	38,128	23.96	n/a	2-Jun	1,525.12	4.0
CAPITAL GROWTH MGMT.	241	F	S	700,000	14.00	n/a	5-Jul	14,000.00	2.0
SAC COHEN	044	F	S	250,000	14.05	n/a	5-Jul	8,750.00	3.5
GRANITE CAPITAL	028	GDOT	SS	30,000	35.11	n/a	n/a	1,500.00	5.0
SURVEYOR CAPITAL	041	GD	S	5,704	74.77	n/a	2-May	171.12	3.0
TUDOR INVESTORS	028	GES	SS	60,000	44.70	n/a	26-May	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GE	B	200,000	19.29	n/a	n/a	10,000.00	5.0
RBC CAPITAL MARKETS	040	GIS	B	40,361	36.89	n/a	n/a	1,614.44	4.0
MILLENNIUM-ICS BOBBY	044	GM	S	5,000	31.82	n/a	7-Jul	150.00	3.0
PIONEER PATH	028	GPS	SS	25,000	19.17	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	GT	B	5,000	17.93	n/a	n/a	150.00	3.0
COLUMBUS CIRCLE	036	HAL	B	3,807	54.09	n/a	n/a	152.28	4.0
BMO NESBITT BURNS	041	IP	B	2,000	30.21	n/a	21-Jun	80.00	4.0
BNP PARIBAS SEC	040	IP	B	20,000	30.44	n/a	21-Jun	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	30.67	n/a	21-Jun	2,500.00	5.0
TUDOR INVESTORS	028	ITW	SS	5,000	59.13	n/a	27-Apr	150.00	3.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	42.51	n/a	28-Jun	500.00	5.0
TUDOR INVESTORS	028	JCI	SS	5,000	42.70	n/a	28-Jun	150.00	3.0
PIONEER PATH	028	JCP	B	25,000	33.64	n/a	30-Jun	750.00	3.0
BASCOM HILL PARTNERS LLC	033	JPM	S	5,000	41.45	n/a	1-Jul	150.00	3.0
JP MORGAN VENTURES	046	JWN	S	10,000	50.01	n/a	1-Jul	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		JWN	S	3,000	49.90	n/a	1-Jul	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041		KSS	B	3,000	56.02	n/a	30-Jun	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV	041	KSS	SS	3,000	55.04	n/a	30-Jun	90.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	55.59	n/a	30-Jun	875.00	3.5
SCOPUS FUND	041	KSU	S	20,000	62.20	n/a	n/a	800.00	4.0
BASIX	033	LEA	B	9,900	54.33	n/a	2-May	297.00	3.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	54.60	n/a	2-May	300.00	3.0
BMO NESBITT BURNS	041	LPX	S	20,000	8.47	n/a	19-May	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	8.50	n/a	19-May	2,500.00	5.0
TUDOR INVESTORS	028	LVS	B	100,000	45.27	n/a	13-Jun	3,000.00	3.0
SCOPUS FUND	041	MAN	B	25,000	57.88	n/a	n/a	1,000.00	4.0
CHESAPEAKE PARTNERS	028	MF	S	50,000	7.87	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	MGM	B	25,000	14.75	n/a	13-Jun	1,000.00	4.0
ROYCE TRADING	012	MLI	B	500	41.78	n/a	27-Apr	25.00	5.0
PROSPECTOR PARTNERS LLC	036	MPC	S	10,000	41.86	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	MSFT	B	100,000	26.64	n/a	n/a	3,000.00	3.0
KACELA CAPITAL	034	M	B	75,000	30.48	n/a	30-Jun	3,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	M	B	10,000	29.88	n/a	30-Jun	300.00	3.0
PIONEER PATH	028	M	S	20,000	30.06	n/a	30-Jun	600.00	3.0
RBC CAPITAL MARKETS	040	M	S	50,000	30.46	n/a	30-Jun	2,000.00	4.0
HIGHFIELDS CAP MGMT	030	NWSA	B	100,000	17.71	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ORLY	SS	40,000	65.87	n/a	n/a	1,200.00	3.0
FIRST NEW YORK FRAN	028	PFE	B	15,000	20.37	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	297	PJC	S	19,400	28.16	n/a	n/a	776.00	4.0
BNP PARIBAS SEC	040	PLCE	B	10,000	47.87	n/a	8-Jun	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	15,000	70.63	n/a	2-Jun	450.00	3.0
SENATOR INVESTMENT GROUP	036	PXP	S	25,000	38.53	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	RADS	B	90,000	22.64	n/a	n/a	2,700.00	3.0
TUDOR INVESTORS	028	RBN	B	9,000	53.08	n/a	n/a	270.00	3.0
CAPITAL GROWTH MGMT.	241	ROST	S	40,000	80.36	n/a	n/a	2,000.00	5.0
DELTEC ASSET MGMT.	040	RRR	B	10,000	12.24	n/a	26-Apr	500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	RRR	B	10,000	12.28	n/a	26-Apr	400.00	4.0
SURVEYOR CAPITAL	041	SEE	B	3,802	23.87	n/a	2-Jun	114.06	3.0
ARMATURE CAPITAL	041	SOA	SS	75,000	23.26	n/a	n/a	3,000.00	4.0
TUDOR INVESTORS	028	SWK	SS	2,000	75.28	n/a	n/a	60.00	3.0
PIONEER PATH	028	TXRH	S	25,000	18.27	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	UNP	B	2,000	106.37	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	URBN	SS	5,000	32.66	n/a	n/a	0.00	0.0
PIONEER PATH	028	URBN	SS	25,000	32.76	n/a	n/a	750.00	3.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	23,000	33.44	n/a	n/a	1,150.00	5.0
SCOPUS FUND	041	WAG	B	50,000	44.19	n/a	n/a	2,000.00	4.0
COLUMBIA PARTNERS	028	WLL	B	23,737	59.83	n/a	n/a	949.48	4.0
CAERUS GLOBAL	041	WRC	S	26,538	54.01	n/a	6-May	1,061.52	4.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	15,000	53.98	n/a	6-May	450.00	3.0
TUDOR INVESTORS	028	WRC	B	100,000	54.15	n/a	6-May	3,000.00	3.0
BMO NESBITT BURNS	041	WY	S	5,000	22.42	n/a	3-Jun	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	22.57	n/a	3-Jun	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	10,000	82.45	n/a	n/a	300.00	3.0
TRELLUS PARTNERS LP	028	XPO	B	9,200	3.30	n/a	n/a	276.00	3.0
PIONEER PATH	028	YUM	B	15,000	55.50	n/a	25-Apr	450.00	3.0
TOTAL (Trade Date) :								134,043.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8507MS)	036	BAC	S	7,090	10.70	n/a	1-Jul	212.70 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8507MS)	036	BAC	S	7,060	10.70	n/a	1-Jul	211.80 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8507CS)	036	BAC	S	7,090	10.70	n/a	1-Jul	212.70 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8507CS)	036	BAC	S	7,060	10.70	n/a	1-Jul	211.80 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8006CS)	036	BAC	S	25,155	10.70	n/a	1-Jul	754.65 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8006CS)	036	BAC	S	25,280	10.70	n/a	1-Jul	758.40 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8012)	036	BAC	S	8,530	10.70	n/a	1-Jul	255.90 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8012)	036	BAC	S	8,490	10.70	n/a	1-Jul	254.70 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8506)	036	BAC	S	10,580	10.70	n/a	1-Jul	317.40 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8506)	036	BAC	S	10,520	10.70	n/a	1-Jul	315.60 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8006MS)	036	BAC	S	25,150	10.70	n/a	1-Jul	754.50 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8006MS)	036	BAC	S	25,280	10.70	n/a	1-Jul	758.40 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8505)	036	BAC	S	13,000	10.70	n/a	1-Jul	390.00 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8505)	036	BAC	S	12,940	10.70	n/a	1-Jul	388.20 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8500)	036	BAC	S	2,785	10.70	n/a	1-Jul	83.55 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8500)	036	BAC	S	2,760	10.70	n/a	1-Jul	82.80 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8501)	036	BAC	S	620	10.70	n/a	1-Jul	18.60 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8501)	036	BAC	S	610	10.70	n/a	1-Jul	18.30 3.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	134,043.94
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:

134,043.94

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