



## Daily Compliance Activity Report

Trade Date: 07/23/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	19,000	8.06	n/a	n/a	570.00	3.0
DALTON GREINER	070	ACE	S	10,138	69.83	n/a	n/a	506.90	0.0
LEVIN CAPITAL STRATEGIES	041	ALV	SS	10,000	53.82	n/a	23-Jul	300.00	0.0
LISTED ERR	099	ALV	B	100	54.11	n/a	23-Jul	0.00	0.0
LISTED ERR	099	ALV	S	100	54.11	n/a	23-Jul	0.00	0.0
LANE GATE PARTNERS LLC	030	AXL	B	7,500	10.04	n/a	7-Jun	225.00	3.0
BALLAST CAP	040	BTU	B	6,000	22.98	n/a	n/a	300.00	5.0
RK CAPTIAL MGMT	046	CGX	B	10,000	24.45	n/a	n/a	500.00	5.0
RK CAPTIAL MGMT	046	CVO	SS	75,000	1.80	n/a	n/a	3,750.00	5.0
EATON VANCE MGMT	029	CVX	S	32,500	107.71	n/a	n/a	975.00	0.0
GEORGE WEISS	034	DNB	S	24,998	69.30	n/a	n/a	999.92	0.0
BASIX	033	DPZ	B	13,000	31.99	n/a	17-Jul	390.00	3.0
BALLAST CAP	040	EMR	SS	8,400	46.17	n/a	n/a	420.00	5.0
STATE TEACHERS RET SYS	047	EPR	B	2,000	42.96	n/a	n/a	100.00	5.0
PERIMETER	273	FINL	S	51,289	20.57	n/a	29-Jun	2,051.56	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.02	n/a	20-Jul	400.00	4.0
DALTON GREINER	070	GD	S	11,042	64.03	n/a	20-Jul	552.10	0.0
INVESCO	031	GM	C	391,075	19.22	n/a	17-Jul	15,643.00	0.0
OZ MGMT	040	GM	C	28,998	19.25	n/a	17-Jul	869.94	0.0
SCOPUS FUND	041	GPS	B	7,000	28.60	n/a	n/a	280.00	0.0
HIGHBRIDGE CAP	041	HP	B	5,500	45.27	n/a	n/a	165.00	3.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.32	n/a	n/a	200.00	0.0
TUDOR INVESTORS	028	JCI	B	5,000	24.50	n/a	20-Jul	150.00	3.0
THE JAY GOLDMAN	028	JCP	B	25,000	20.00	n/a	2-Jul	1,000.00	4.0
TROUBH PART	070	JCP	B	25,000	20.38	n/a	2-Jul	1,250.00	5.0
Õ Doug Rogers		LGND	B	100	18.0559	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	100	18.0590	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	200	18.0520	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	500	17.9710	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	600	18.0200	n/a	n/a	0.00	0.0
BRONSON POINT	036	LLL	C	20,000	69.42	n/a	n/a	600.00	0.0
HIGHBRIDGE CAP	041	MON	B	1,500	84.89	n/a	23-Jul	45.00	3.0
EATON VANCE MGMT	029	MSFT	S	59,900	29.24	n/a	n/a	1,797.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ICS-SAYAN GHOSH028		MWV	S	45,000	28.56	n/a	20-Jul	1,800.00	0.0
EATON VANCE MGMT	029	ORCL	S	90,000	29.58	n/a	n/a	2,700.00	0.0
CASTLE ARK	031	PAY	S	134,760	34.57	n/a	n/a	6,738.00	0.0
CAERUS GLOBAL	041	PEP	S	7,500	69.25	n/a	n/a	300.00	4.0
EATON VANCE MGMT	029	PFE	S	50,000	23.47	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	PWR	B	5,000	22.02	n/a	n/a	150.00	3.0
ARCHON CAPITAL	035	SHOO	B	15,000	33.56	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	SHW	B	1,145	131.25	n/a	20-Jul	34.35	3.0
DALTON GREINER	070	SWY	S	46,520	15.33	n/a	n/a	2,326.00	0.0
DALTON GREINER	070	TDW	S	22,000	48.11	n/a	n/a	1,100.00	0.0
<b>Õ Nilsa Vazquez</b>		<b>TRN</b>	<b>B</b>	<b>250</b>	<b>22.9900</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DALTON GREINER	070	T	S	29,319	35.22	n/a	n/a	1,465.95	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		UFS	SS	9,001	74.43	n/a	n/a	360.04	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		UFS	S	16,999	74.43	n/a	n/a	679.96	0.0
EATON VANCE MGMT	029	XOM	S	25,000	84.88	n/a	n/a	750.00	0.0
HIGHBRIDGE CAP	041	XOP	B	3,250	50.37	n/a	n/a	65.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Doug Rogers		XPO	S	1100	13.4320	n/a	n/a	0.00	0.0
Õ Doug Rogers		XPO	S	250	13.4310	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	Y	B	2,500	338.72	n/a	n/a	100.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	30,000	35.54	n/a	n/a	900.00	3.0
<b>TOTAL (Trade Date):</b>								<b>55,459.72</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/23	HIGHBRIDGE CAP (HIBCCSFB)	041	XOP	B	3,250	50.37	n/a	n/a	65.00 2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>65.00</b>

TOTAL (Trade Date):	55,459.72
TOTAL (AO, CXL, CRT):	65.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>55,524.72</b>
--------------------------------	------------------

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