



Daily Compliance Activity Report

Trade Date: 07/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	S	40,000	12.75	n/a	9-Jul	2,000.00	5.0
EXIS CAPITAL	044	AEO	B	5,000	12.74	n/a	9-Jul	250.00	5.0
WEISS PECK	040	AEO	S	9,100	12.75	n/a	9-Jul	455.00	5.0
SAC CRIB	044	ALB	B	25,000	45.00	n/a	n/a	875.00	3.5
SHEFFIELD ASSET MGMT	031	ANF	S	50,000	37.94	n/a	9-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	250,000	30.06	n/a	9-Jul	10,000.00	4.0
NEUBERGER BERMAN	036	ASTE	S	22,500	31.33	n/a	n/a	900.00	4.0
1798 CAP/LOMBARD ASSET	040	AWI	B	14,600	37.14	n/a	n/a	730.00	5.0
NEWLAND CAPITAL MGT	067	AXE	S	25,000	47.26	n/a	16-Jul	1,000.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	50,000	26.64	n/a	n/a	2,000.00	4.0
MTB INV ADV	034	DAN	B	10,400	11.83	n/a	23-Jul	520.00	5.0
OZ MGMT	040	DAN	B	125,000	12.00	n/a	23-Jul	3,750.00	3.0
1798 CAP/LOMBARD ASSET	040	DO	SS	4,000	62.14	n/a	n/a	200.00	5.0
EGS ASSOCIATES LP	091	DPZ	B	6,000	13.28	n/a	26-Jul	360.00	6.0
CATAPULT	040	EBAY	SS	4,023	21.02	n/a	n/a	201.15	5.0
CATAPULT	040	EXPE	SS	2,967	21.60	n/a	n/a	148.35	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	FAF	S	9,925	14.87	n/a	n/a	496.25	5.0
CASTLE ARK	031	FCX	B	84,940	71.34	n/a	n/a	4,247.00	5.0
CASTLEROCK	040	FDO	SS	72,744	38.96	n/a	7-Jul	2,909.76	4.0
GREEN ARROW DOUG	040	FDO	B	15,000	38.97	n/a	7-Jul	750.00	5.0
EXIS CAPITAL	044	FINL	B	50,000	14.65	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	F	S	200,000	12.83	n/a	26-Jul	6,000.00	3.0
OZ MGMT	040	F	SS	125,537	13.08	n/a	26-Jul	3,766.11	3.0
OZ MGMT	040	F	S	318,067	13.00	n/a	26-Jul	9,542.01	3.0
BANK OF AMERICA/MERRILL	259	HD	SS	7,000	28.58	n/a	20-Jul	350.00	5.0
KLEINHEINZ CAP PART	031	HOTT	B	100,000	5.50	n/a	n/a	5,000.00	5.0
BACKBAY	041	IP	B	12,500	25.32	n/a	19-Jul	625.00	5.0
BACKBAY	041	IP	SS	12,500	25.27	n/a	19-Jul	625.00	5.0
CASEY CAPITAL	067	IP	S	5,000	24.84	n/a	19-Jul	200.00	4.0
SACC-SCHWARTZ	044	ITW	S	50,000	43.37	n/a	21-Jul	1,750.00	3.5
FRONTIER	048	JBL	B	127,330	15.59	n/a	n/a	5,093.20	4.0
FRONTIER	048	JBL	B	34,900	15.59	n/a	n/a	1,396.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	70,000	36.93	n/a	n/a	2,800.00	4.0
BMO NESBITT BURNS	041	JCP	B	4,000	25.66	n/a	9-Jul	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	JNY	B	8,000	16.70	n/a	19-Jul	400.00	5.0
JP MORGAN VENTURES	046	JNY	S	45,000	16.52	n/a	19-Jul	2,250.00	5.0
SCOPUS FUND	041	JNY	B	50,000	16.74	n/a	19-Jul	2,500.00	5.0
BMO NESBITT BURNS	041	JWN	SS	4,000	34.50	n/a	9-Jul	160.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	30,000	34.62	n/a	9-Jul	1,200.00	4.0
GLG PARTNERS	034	JWN	S	25,000	34.52	n/a	9-Jul	750.00	3.0
SCOPUS FUND	041	KSS	B	200	49.45	n/a	9-Jul	10.00	5.0
NEUBERGER BERMAN	036	LAYN	S	10,500	27.17	n/a	n/a	420.00	4.0
BUCK CAPITAL MGMT	001	LEG	B	20,000	21.62	n/a	n/a	800.00	4.0
BANK OF AMERICA/MERRILL	259	LOW	SS	9,400	21.34	n/a	17-May	470.00	5.0
AAD CAPITAL	084	LPX	S	100,000	8.20	n/a	19-Jul	2,000.00	2.0
1798 CAP/LOMBARD ASSET	040	MHK	B	9,000	50.58	n/a	n/a	450.00	5.0
CATAPULT	040	MXIM	S	5,300	18.38	n/a	n/a	265.00	5.0
SAC CAPITAL/M GRONET	030	M	B	20,000	19.96	n/a	9-Jul	700.00	3.5
BENNETT LAWRENCE	028	NUVA	S	25,750	34.28	n/a	n/a	1,030.00	4.0
CATAPULT	040	NVDA	SS	5,551	10.51	n/a	n/a	277.55	5.0
LEVIN CAPITAL STRATEGIES	012	OXY	S	20,000	82.46	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	QUAD	S	3,495	43.01	n/a	n/a	104.85	3.0
NEUBERGER BERMAN	036	RBN	S	15,000	23.78	n/a	n/a	600.00	4.0
MILLENIUM PARTNERS	028	RRR	S	20,000	8.13	n/a	23-Jul	800.00	4.0
CATAPULT	040	SAI	S	12,592	16.89	n/a	n/a	629.60	5.0
VISIUM/BALY BOBBY	044	SBUX	B	20,000	25.25	n/a	22-Jul	1,000.00	5.0
BANK OF AMERICA/MERRILL	259	SHW	SS	2,900	69.04	n/a	22-Jul	145.00	5.0
BUCK CAPITAL MGMT	001	SIG	S	20,000	30.42	n/a	n/a	800.00	4.0
WEISS PECK	040	SKX	B	8,600	34.52	n/a	n/a	430.00	5.0
CATAPULT	040	SPR	SS	5,504	21.24	n/a	21-Jul	275.20	5.0
1798 CAP/LOMBARD ASSET	040	SPY	SS	9,000	110.91	n/a	n/a	450.00	5.0
CATAPULT	040	TDG	SS	3,836	53.92	n/a	n/a	191.80	5.0
CAMBIAR CAP	046	TEVA	B	126,100	49.93	n/a	26-Jul	5,044.00	4.0
CAMBIAR CAP	046	TEVA	B	2,290	49.93	n/a	26-Jul	91.60	4.0
BACKBAY	041	TIN	SS	100,000	22.64	n/a	19-Jul	5,000.00	5.0
BASIX	033	TIN	S	67,000	22.55	n/a	19-Jul	2,010.00	3.0
BMO NESBITT BURNS	041	TIN	S	24,900	22.56	n/a	19-Jul	1,245.00	5.0
CASEY CAPITAL	067	TIN	S	5,000	22.47	n/a	19-Jul	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CRIB	044	TIN	S	15,000	22.64	n/a	19-Jul	525.00	3.5
TRELLUS PARTNERS LP	028	TIN	SS	10,000	22.62	n/a	19-Jul	0.00	0.0
EXIS CAPITAL	044	TJX	SS	5,000	42.67	n/a	9-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	11.65	n/a	n/a	1,200.00	4.0
BNP PARIBAS SEC	040	TOT	S	25,000	49.60	n/a	n/a	1,000.00	4.0
BANK OF AMERICA/MERRILL	259	TSCO	SS	2,900	69.55	n/a	n/a	145.00	5.0
CATAPULT	040	UTX	SS	1,710	71.49	n/a	n/a	85.50	5.0
NEUBERGER BERMAN	036	VMI	S	22,600	74.87	n/a	n/a	904.00	4.0
SAC CHICAGO ANDREW	031	WMT	B	25,000	51.03	n/a	19-May	875.00	3.5
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	42.58	n/a	19-Jul	1,500.00	3.0
PEREGRINE	030	WRC	B	32,120	42.54	n/a	19-Jul	1,284.80	4.0
PEREGRINE	030	WRC	B	7,880	42.54	n/a	19-Jul	315.20	4.0
BANK OF AMERICA/MERRILL	259	WSM	SS	7,300	27.18	n/a	n/a	365.00	5.0
RBC CAPITAL MARKETS	040	WY	SS	30,000	16.86	n/a	21-Jul	1,200.00	4.0
TOTAL (Trade Date):								117,088.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/23	YORK CAPITAL (YORKSG)	036	APA	S	10,000	91.04	n/a	21-Jul	3.00 0.0
AO,	07/23	YORK CAPITAL (YORKSG)	036	APA	S	10,000	91.04	n/a	21-Jul	350.00 3.5
AO,CXL	07/23	YORK CAPITAL (YORKBS)	036	APA	S	118,571	91.04	n/a	21-Jul	35.57 0.0
AO,	07/23	YORK CAPITAL (YORKBS)	036	APA	S	118,571	91.04	n/a	21-Jul	4149.99 3.5
CRT	07/26	EGS ASSOCIATES LP (EGASBANC O)	091	DPZ	B	6,000	13.28	n/a	26-Jul	360.00 6.0
CRT	07/26	BACKBAY (BACKJEFF)	041	TIN	SS	100,000	22.64	n/a	19-Jul	5000.00 5.0
TOTAL (AO, CXL, CRT) :										9,821.42
TOTAL (Trade Date) :										117,088.93
TOTAL (AO, CXL, CRT) :										9,821.42
TOTAL (RUN DATE) / NFS:										126,910.35

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