



Daily Compliance Activity Report

Trade Date: 08/08/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Abram Chappel		AAPL	B	14360	0.0700	n/a	n/a	0.00	0.0
SCOPUS FUND	041	AN	SS	25,000	32.85	n/a	28-Jul	1,000.00	4.0
ROSEDALE CAPITAL	046	APA	S	10,000	102.32	n/a	15-Jul	500.00	5.0
ROTHSCHILD ASSET	040	ASH	S	20,159	52.07	n/a	3-Aug	806.36	4.0
MACQUARIE INVESTMENT MGMT.	040	AVP	B	5,000	21.70	n/a	29-Jul	0.00	0.0
TRELLUS PARTNERS LP	028	AXL	C	50,000	8.85	n/a	1-Aug	1,500.00	3.0
SANDLER O'NEILL ASSET	031	AXP	SS	50,000	45.89	n/a	5-Aug	2,500.00	5.0
SAC ADV/LEE/PECK	044	BEXP	B	100,000	23.78	n/a	n/a	3,500.00	3.5
AVESTA CAP	229	BRCM	B	50,000	32.36	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	CBE	S	5,000	46.88	n/a	26-Apr	150.00	3.0
ROYAL CAPITAL MGMT	070	CPB	SS	325,000	31.63	n/a	n/a	16,250.00	5.0
BALYASNY ASSET MGMT	044	CROX	C	15,000	24.61	n/a	n/a	750.00	5.0
TRUST CO OF THE WEST/NY	040	DAN	B	22,400	11.55	n/a	29-Jul	896.00	4.0
TRUST CO/COWEN/CALF.	040	DAN	B	302,455	11.55	n/a	29-Jul	12,098.20	4.0
DALTON GREINER	012	DG	C	16,030	30.65	n/a	4-Aug	801.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	EAT	B	25,000	21.21	n/a	5-Aug	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	F	B	20,000	10.16	n/a	3-Aug	600.00	3.0
GALT INVESTMENT	041	HGG	S	25,000	10.02	n/a	n/a	750.00	3.0
APEX CAPITAL MGMT.	261	HON	C	24,500	46.43	n/a	2-Aug	980.00	4.0
DELTEC ASSET MGMT.	040	IR	B	9,000	30.25	n/a	21-Jul	450.00	5.0
NORTHWESTERN MUTUAL LIFE	047	IWM	B	287,500	67.63	n/a	n/a	5,750.00	2.0
BASIX	033	JNY	B	34,000	9.56	n/a	28-Jul	1,020.00	3.0
SUN AMERICA ASSET MGMT	030	JNY	S	51,400	10.48	n/a	28-Jul	2,056.00	4.0
MERRILL ASSET/BLACKROCK	297	KMT	B	4,900	31.48	n/a	29-Jul	196.00	4.0
TUDOR INVESTORS	028	KMT	S	5,000	32.27	n/a	29-Jul	150.00	3.0
IRIDIAN ASSET MGMT.	036	LEAP	S	135,800	6.00	n/a	n/a	6,790.00	5.0
BASIX	033	LEA	B	7,000	41.06	n/a	5-Aug	210.00	3.0
MILLRACE FUND LP	028	LEA	B	15,300	41.71	n/a	5-Aug	612.00	4.0
DC CAPITAL	044	LPX	B	25,000	6.26	n/a	5-Aug	1,000.00	4.0
PRIMECAP MGMT	084	LTD	B	20,000	33.15	n/a	n/a	800.00	4.0
CASTLEROCK	040	LVS	B	50,000	39.13	n/a	13-Jun	2,000.00	4.0
NORTHWESTERN MUTUAL LIFE	047	MDY	B	303,300	144.89	n/a	n/a	6,066.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	MTW	B	20,000	9.07	n/a	28-Jul	600.00	3.0
BALYASNY ASSET MGMT	044	M	S	30,000	25.68	n/a	5-Aug	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	M	B	529,002	24.02	n/a	5-Aug	15,870.06	3.0
PNC CAPITAL ADV	028	NRG	S	47,725	20.58	n/a	n/a	1,909.00	4.0
SAC ADV/LEE/PECK	044	OAS	SS	148,000	21.82	n/a	n/a	5,180.00	3.5
TUDOR INVESTORS	028	PH	B	8,000	66.67	n/a	3-Aug	240.00	3.0
SCOPUS FUND	041	PKG	B	50,000	22.67	n/a	4-Aug	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	PSS	SS	50,000	10.00	n/a	n/a	1,750.00	3.5
SIGMA CAPITAL ASSOCIATES	041	PVH	SS	50,000	61.93	n/a	18-Jul	1,750.00	3.5
TUDOR INVESTORS	028	RBN	S	3,000	41.86	n/a	n/a	90.00	3.0
TUDOR INVESTORS	028	RKT	S	7,000	51.38	n/a	4-Aug	210.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	10,000	56.43	n/a	1-Aug	400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	SPY	B	178,900	114.75	n/a	n/a	3,578.00	2.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.34	n/a	n/a	800.00	4.0
DELTEC ASSET MGMT.	040	TEL	S	8,000	28.24	n/a	n/a	400.00	5.0
MERRILL ASSET/BLACKROCK	297	TEX	B	16,700	15.99	n/a	22-Jul	668.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TEX	B	5,000	17.04	n/a	22-Jul	150.00	3.0
TUDOR INVESTORS	028	TKR	S	10,000	35.28	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	VMC	B	5,000	32.99	n/a	n/a	150.00	3.0
BARROW HANLEY MEWHINNEY	098	VZ	S	50,700	33.95	n/a	n/a	1,774.50	3.5
ROTHSCHILD ASSET	040	WBS	B	4,560	17.31	n/a	n/a	182.40	4.0
APEX CAPITAL MGMT.	261	WFC	S	166,900	23.05	n/a	20-Jul	6,676.00	4.0
BARROW HANLEY MEWHINNEY	031	WFC	B	335,800	24.67	n/a	20-Jul	11,753.00	3.5
RAINIER INV MGMT	035	WFT	B	108,630	16.79	n/a	n/a	4,345.20	4.0
SUN AMERICA ASSET MGMT	030	WINN	B	26,800	7.62	n/a	n/a	1,072.00	4.0
MACQUARIE INVESTMENT MGMT.	040	WMT	B	5,000	50.31	n/a	18-May	0.00	0.0
EPOCH INV MGMT	030	WRC	B	22,950	49.03	n/a	2-Aug	688.50	3.0
TOTAL (Trade Date) :								136,718.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/08	SAC ADV/LEE/PECK (SACLLEEPEC)	044	OAS	SS	148,000	21.82	n/a	n/a	5180.00 3.5
AO,CXL	08/05	DELTEC ASSET MGMT. (DELTPEPSPB)	040	RRR	B	25,000	9.48	n/a	22-Jul	1250.00 5.0
AO,CRT	08/05	DELTEC ASSET MGMT. (DELTPEPSPB)	040	RRR	B	25,000	9.48	n/a	22-Jul	1000.00 4.0
AO,CXL	08/05	FARALLON CAP MGMT (FARACS)	040	SCHW	B	75,000	13.70	n/a	n/a	2250.00 3.0
AO,CRT	08/05	FARALLON CAP MGMT (FARACS)	040	SCHW	B	900	13.70	n/a	n/a	27.00 3.0
AO,	08/05	FARALLON CAP MGMT (FARABULK F)	040	SCHW	B	74,100	13.70	n/a	n/a	2223.00 3.0

TOTAL (AO, CXL, CRT) :**4,930.00**

TOTAL (Trade Date) :

136,718.72

TOTAL (AO, CXL, CRT) :

4,930.00

TOTAL (RUN DATE) / NFS:**141,648.72**

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