



## Daily Compliance Activity Report

Trade Date: 07/05/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHICAGO ANDREW	031	BBY	SS	100,000	32.27	n/a	n/a	3,500.00	3.5
WEISS PECK	040	BWS	S	104,030	10.46	n/a	n/a	5,201.50	5.0
LATEFF MGMT	035	CSCO	B	250	15.69	n/a	n/a	37.50	15.0
LATEFF MGMT	035	DAL	B	1,500	9.14	n/a	n/a	120.00	8.0
SEVEN LOCKS CAPITAL	025	DAN	B	20,000	18.59	n/a	25-May	600.00	3.0
NOKOMIS PARTNERS	031	EXTR	B	41,021	3.20	n/a	n/a	820.42	2.0
CAMBIAR CAP	046	GLW	S	100,000	18.34	n/a	20-May	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	B	10,000	31.30	n/a	5-Jul	300.00	3.0
TROUBH PART	070	GM	B	2,600	31.05	n/a	5-Jul	130.00	5.0
CATAPULT	040	IP	SS	15,000	29.88	n/a	21-Jun	600.00	4.0
COBALT	041	IP	SS	100,000	29.94	n/a	21-Jun	4,000.00	4.0
TUDOR INVESTORS	028	IR	SS	3,000	46.89	n/a	19-May	90.00	3.0
TUDOR INVESTORS	028	IYT	B	2,000	99.50	n/a	n/a	60.00	3.0
NEWLAND CAPITAL MGT	025	JCI	S	15,000	42.08	n/a	28-Jun	600.00	4.0
CR INTRINIC INVESTMENT	044	JCP	B	20,000	34.25	n/a	30-Jun	700.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	KMX	SS	20,000	33.93	n/a	n/a	800.00	4.0
CYRUS CAPITAL	025	KND	B	16,200	21.86	n/a	n/a	486.00	3.0
LATEFF MGMT	035	KR	S	2,250	25.10	n/a	n/a	250.00	15.0
ADALY INV MGMT	031	LEA	B	15,900	53.45	n/a	2-May	795.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	5,890	53.44	n/a	2-May	176.70	3.0
MILLENNIUM-ICS BOBBY	044	LEA	B	10,000	52.97	n/a	2-May	300.00	3.0
CHESAPEAKE PARTNERS	028	MF	S	100	7.90	n/a	n/a	3.00	3.0
ROYCE TRADING	012	MLI	B	500	38.46	n/a	27-Apr	25.00	5.0
SCOPUS FUND	041	MOS	B	25,000	68.78	n/a	n/a	1,000.00	4.0
SONTERRA CAP	041	OSK	B	50,000	32.53	n/a	n/a	2,000.00	4.0
SAC TRADING TOM LEDDY	035	PETM	SS	25,000	45.98	n/a	n/a	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	PIR	SS	25,000	11.96	n/a	n/a	875.00	3.5
SMITH MGMT LLC	029	PSS	B	363,000	15.11	n/a	n/a	10,890.00	3.0
NOKOMIS PARTNERS	031	RMBS	B	10,500	14.74	n/a	n/a	262.50	2.5
SONTERRA CAP	041	SMG	SS	30,000	50.16	n/a	20-Jun	1,200.00	4.0
SOROS	036	SPY	C	2,000,000	133.79	n/a	n/a	60,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	5.38	n/a	n/a	800.00	4.0
SONTERRA CAP	041	THO	B	20,000	28.80	n/a	n/a	800.00	4.0
SCOPUS FUND	041	TIF	B	25,000	80.69	n/a	n/a	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	S	25,000	53.63	n/a	30-Jun	875.00	3.5
PARAMETER CAPITAL MGMT LLC	044	TXT	S	42,500	22.63	n/a	n/a	1,700.00	4.0
BALLAST CAP	040	WU	S	15,300	19.72	n/a	n/a	765.00	5.0
<b>TOTAL (Trade Date):</b>								<b>106,637.62</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/01	NOMURA CAPITAL (NOMU7N1Q)	029	ACW	S	6,314	12.97	n/a	n/a	189.42 3.0
AO,	07/01	NOMURA CAPITAL (NOMU7N1R)	029	ACW	S	3,686	12.97	n/a	n/a	110.58 3.0
AO,	07/01	KENNEDY CAPITAL (KENN959)	046	CBK	S	1,150	6.55	n/a	n/a	34.50 3.0
AO,	07/01	KENNEDY CAPITAL (KENN958)	046	CBK	S	150	6.55	n/a	n/a	4.50 3.0
AO,	07/01	KENNEDY CAPITAL (KENN950)	046	CBK	S	14,875	6.55	n/a	n/a	446.25 3.0
AO,	07/01	KENNEDY CAPITAL (KENN825)	046	CBK	S	27,800	6.55	n/a	n/a	834.00 3.0
AO,	07/01	KENNEDY CAPITAL (KENN420)	046	CBK	S	21,925	6.55	n/a	n/a	657.75 3.0
AO,	07/01	NOMURA CAPITAL (NOMU7N1Q)	029	CHTR	S	577	55.01	n/a	n/a	17.31 3.0
AO,	07/01	NOMURA CAPITAL (NOMU7N1R)	029	CHTR	S	145	55.01	n/a	n/a	4.35 3.0
AO,	07/01	NOMURA CAPITAL (NOMU7N1Q)	029	CORE	S	1,224	36.66	n/a	n/a	36.72 3.0
AO,	07/01	NOMURA CAPITAL (NOMU7N1R)	029	CORE	S	710	36.66	n/a	n/a	21.30 3.0
AO,CXL	07/01	BNP PARIBAS SEC (BNPPMAIN)	040	USG	B	20,000	14.57	n/a	20-Apr	0.00 0.0
AO,	07/01	BNP PARIBAS SEC (BNPPMAIN)	040	USG	B	20,000	14.57	n/a	20-Apr	1000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,356.68</b>

TOTAL (Trade Date) :	106,637.62
TOTAL (AO, CXL, CRT) :	3,356.68

<b>TOTAL (RUN DATE) / NFS:</b>	<b>109,994.30</b>
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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