



## Daily Compliance Activity Report

Trade Date: 07/14/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ADM	SS	20,000	30.46	n/a	11-Jul	1,000.00	5.0
SURVEYOR CAPITAL	041	ALB	B	45,784	68.33	n/a	n/a	1,373.52	3.0
TUDOR INVESTORS	028	ALV	S	5,000	71.51	n/a	14-Jul	150.00	3.0
TUDOR INVESTORS	028	ARG	B	3,000	69.19	n/a	24-Jun	90.00	3.0
LONG OAR GLOBAL INV	040	BBY	SS	79,233	30.39	n/a	n/a	3,169.32	4.0
NUVEEN - US BANCORP		030	BC	S	18,155	18.74	n/a	n/a	816.98 4.5
PILOT ADV	041	BK	B	4,600	25.56	n/a	8-Jul	138.00	3.0
FARALLON CAP MGMT	040	BMC	S	70,000	53.26	n/a	n/a	2,800.00	4.0
TUDOR INVESTORS	028	BWA	B	3,000	79.55	n/a	14-Jul	90.00	3.0
CRAMER ROSENTHAL/SCOTT	012	B	S	100	24.75	n/a	n/a	4.00	4.0
KENNEDY CAPITAL	046	CBK	S	7,450	6.63	n/a	n/a	223.50	3.0
NEW JERSEY DIV OF INV.	030	CBT	S	25,000	41.60	n/a	5-Jul	1,000.00	4.0
RBC CAPITAL MARKETS	040	CE	S	25,000	53.22	n/a	20-May	1,000.00	4.0
CASTLEROCK	040	CMG	SS	4,255	321.81	n/a	13-Jul	170.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	CWH	B	10,000	23.70	n/a	n/a	300.00	3.0
LATEFF MGMT	035	DAL	B	2,400	8.56	n/a	n/a	280.00	12.3
CASTLEROCK	040	DECK	SS	14,843	92.12	n/a	n/a	593.72	4.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	SS	50,000	69.68	n/a	20-May	1,750.00	3.5
TUDOR INVESTORS	028	EXPD	SS	10,000	50.86	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	041	FMC	SS	2	87.07	n/a	8-Dec	0.06	3.0
SURVEYOR CAPITAL	041	FMC	S	36,045	86.74	n/a	8-Dec	1,081.35	3.0
Õ Doug Rogers		FOR	S	100	17.0831	n/a	5-May	0.00	0.0
Õ Doug Rogers		FOR	S	250	17.0810	n/a	5-May	0.00	0.0
TRELLUS PARTNERS LP	028	F	B	50,000	13.19	n/a	14-Jul	2,500.00	5.0
TUDOR INVESTORS	028	GE	B	10,000	18.68	n/a	n/a	300.00	3.0
SIGMA CAPITAL ASSOCIATES	041	GIL	SS	26,700	34.76	n/a	12-May	934.50	3.5
CASTLEROCK	040	GMCR	SS	15,418	88.65	n/a	n/a	616.72	4.0
PILOT ADV	041	HAS	B	2,500	42.34	n/a	n/a	75.00	3.0
SONTERRA CAP	041	HOG	S	50,000	42.50	n/a	n/a	2,000.00	4.0
TUDOR INVESTORS	028	IR	B	6,000	46.16	n/a	19-May	180.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	IWM	SS	21,800	82.32	n/a	n/a	654.00	3.0
PILOT ADV	041	JCP	SS	10,000	32.10	n/a	8-Jul	300.00	3.0
THE JAY GOLDMAN	028	JCP	B	20,000	31.81	n/a	8-Jul	800.00	4.0
MFP INVESTORS	085	JNS	B	22,800	8.95	n/a	n/a	912.00	4.0
Õ Doug Rogers		LGND	B	262	11.2500	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	800	11.2500	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	938	11.2600	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	LTD	SS	20,000	39.98	n/a	n/a	800.00	4.0
PILOT ADV	041	MAT	B	4,000	27.04	n/a	n/a	120.00	3.0
TUDOR INVESTORS	028	MLM	B	2,000	79.23	n/a	n/a	60.00	3.0
Õ Doug Rogers		MWA	S	5000	3.6800	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	M	B	30,000	30.05	n/a	8-Jul	1,200.00	4.0
TROUBH PART	070	M	S	15,000	30.13	n/a	8-Jul	750.00	5.0
MACQUARIE INVESTMENT MGMT.	040	OIH	SS	15,000	149.60	n/a	n/a	0.00	0.0
NUVEEN - US BANCORP		030	PCLN	S	4,586	522.41	n/a	n/a	206.39 4.5
STATE TEACHERS RET SYS	047	PDM	B	10,000	20.50	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	72.14	n/a	2-Jun	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	RLJ	B	10,000	17.40	n/a	n/a	300.00	3.0
PILOT ADV	041	SNY	S	11,400	38.82	n/a	n/a	342.00	3.0
PZENA INV ADV	044	SPLS	B	6,175	15.27	n/a	n/a	216.13	3.5
MERRILL ASSET/BLACKROCK	297	SPR	B	13,780	20.53	n/a	24-Jun	551.20	4.0
TUDOR INVESTORS	028	SPY	B	3,000	132.60	n/a	n/a	90.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.25	n/a	n/a	800.00	4.0
PZENA INV ADV	044	TAP	B	4,350	44.44	n/a	n/a	152.25	3.5
NEWLAND CAPITAL MGT	025	TEU	S	90,500	10.74	n/a	n/a	3,620.00	4.0
COLONIAL FUND LLC	036	TIN	B	15,000	31.16	n/a	14-Jul	750.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	134,921	31.19	n/a	14-Jul	5,396.84	4.0
TUDOR INVESTORS	028	TKR	B	5,000	49.43	n/a	n/a	150.00	3.0
CASTLEROCK	040	TPX	SS	36,544	65.48	n/a	n/a	1,461.76	4.0
COBALT	041	TSN	B	100,000	18.66	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	URBN	B	6,600	31.23	n/a	n/a	330.00	5.0
TUDOR INVESTORS	028	UTX	SS	6,000	88.44	n/a	n/a	180.00	3.0
SCOPUS FUND	041	WMT	SS	40,000	53.46	n/a	18-May	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
NUVEEN - US BANCORP		030	WTW	S	33,831	74.54	n/a	n/a	1,522.42	4.5
NUVEEN - US BANCORP		030	WYNN	S	20,521	158.00	n/a	13-Jun	923.46	4.5
SENATOR INVESTMENT GROUP	036	XLB	B	15,000	39.45	n/a	n/a	450.00	3.0	
JANA CAPITAL	044	XLI	C	100,000	37.11	n/a	n/a	4,000.00	4.0	
TUDOR INVESTORS	028	X	B	4,000	42.71	n/a	n/a	120.00	3.0	
SIGMA CAPITAL ASSOCIATES	041	YUM	B	50,000	56.10	n/a	14-Jul	1,750.00	3.5	
<b>TOTAL (Trade Date) :</b>									<b>58,345.32</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/13	ROSEDALE CAPITAL (ROSEJPM)	046	F	B	30,000	13.26	n/a	14-Jul	1500.00 5.0
AO,CRT	07/13	ROSEDALE CAPITAL (ROSEJPM)	046	F	B	30,000	13.26	n/a	14-Jul	1200.00 4.0
AO,CXL	07/12	SHIKIAR ASSET (SHIKBOA)	029	NUE	B	700	39.84	n/a	n/a	35.00 5.0
AO,CRT	07/12	SHIKIAR ASSET (SHIKBOA)	029	NUE	B	300	39.84	n/a	n/a	15.00 5.0
AO,CXL	07/12	SHIKIAR ASSET (SHIKPERS)	029	NUE	B	5,800	39.84	n/a	n/a	290.00 5.0
AO,CRT	07/12	SHIKIAR ASSET (SHIKPERS)	029	NUE	B	6,200	39.84	n/a	n/a	310.00 5.0
AO,CXL	07/13	PAULSON & CO INC (PAULDEUTSH)	041	SPY	SS	8,130	132.42	n/a	n/a	325.20 4.0
AO,	07/13	PAULSON & CO INC (PAULDEUTSH)	041	SPY	SS	8,129	132.42	n/a	n/a	325.16 4.0
AO,CXL	07/13	PAULSON & CO INC (PAULGS)	041	SPY	SS	11,270	132.42	n/a	n/a	450.80 4.0
AO,	07/13	PAULSON & CO INC (PAULGS)	041	SPY	SS	11,271	132.42	n/a	n/a	450.84 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-300.00</b>
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TOTAL (Trade Date) :	58,345.32
TOTAL (AO, CXL, CRT) :	-300.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>58,045.32</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