



Daily Compliance Activity Report

Trade Date: 07/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	AGU	B	26,618	54.79	n/a	n/a	1,064.72	4.0
SANDLER CAPITAL	226	ANF	C	72,800	35.69	n/a	30-Jun	4,368.00	6.0
BMO NESBITT BURNS	041	ARO	B	5,000	28.48	n/a	30-Jun	200.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	28.62	n/a	30-Jun	1,200.00	4.0
MILLRACE FUND LP	028	ARO	S	5,000	28.82	n/a	30-Jun	200.00	4.0
EVERCORE WEALTH MGMT	012	AVP	S	14,474	27.71	n/a	28-May	723.70	5.0
PLATTE RIVER CAPITAL	240	AVP	B	14,000	27.73	n/a	28-May	560.00	4.0
SONICA CAPITAL LLC	025	AVP	SS	7,500	27.77	n/a	28-May	225.00	3.0
LAGRANGE CAP ADV	048	AXL	B	20,000	7.26	n/a	7-Jul	1,000.00	5.0
OZ MGMT	040	AXL	S	57,267	7.60	n/a	7-Jul	1,718.01	3.0
BROADARCH CAP/OLD NEWC	070	BBY	SS	3,200	34.02	n/a	n/a	128.00	4.0
SAXON WOODS ADVISORS	242	BEBE	B	191,200	6.67	n/a	n/a	5,736.00	3.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.20	n/a	n/a	800.00	4.0
NORTHWESTERN MUTUAL LIFE	047	BWA	B	33,000	38.53	n/a	30-Apr	1,320.00	4.0
OMEGA ADVISORS	041	CDNS	S	250,000	5.88	n/a	n/a	7,500.00	3.0
SONICA CAPITAL LLC	025	COST	B	5,500	55.68	n/a	n/a	165.00	3.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	13.29	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	CRI	SS	150,000	26.46	n/a	n/a	4,500.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	9,200	79.43	n/a	6-Jul	368.00	4.0
MARINER/TRICADIA	041	CYBX	S	4,300	23.70	n/a	n/a	215.00	5.0
ROTHSCHILD ASSET	040	CYH	B	17,520	32.88	n/a	n/a	700.80	4.0
MTB INV ADV	034	DHX	S	24,050	7.02	n/a	n/a	721.50	3.0
VISIUM/BALY BOBBY	044	DRI	S	10,000	38.50	n/a	8-Jul	500.00	5.0
SOUTH POINT CAP	067	FAZ	SS	5,000	16.12	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	FINL	B	15,000	14.37	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	FOR	B	8,000	16.85	n/a	28-Jun	320.00	4.0
THIRD COAST CAPITAL	035	FRED	B	20,000	10.78	n/a	n/a	1,000.00	5.0
CAVU CAP ADV	028	F	B	70,000	10.65	n/a	7-Jul	3,500.00	5.0
OZ MGMT	040	F	B	200,000	10.53	n/a	7-Jul	6,000.00	3.0
BNP PARIBAS SEC	040	GES	B	5,000	33.30	n/a	28-May	200.00	4.0
HIGHBRIDGE CAP	041	GLW	B	125,000	17.13	n/a	22-Jun	5,000.00	4.0
SONICA CAPITAL LLC	025	GME	SS	14,000	18.83	n/a	n/a	420.00	3.0
THIRD COAST CAPITAL	035	GPS	B	10,000	18.33	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	B	6,000	23.00	n/a	28-Jun	240.00	4.0
HARBORWATCH/DIAMBACK	232	IP	SS	25,000	22.99	n/a	28-Jun	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	173,000	23.08	n/a	30-Jun	6,920.00	4.0
CASTLEROCK	040	JCP	SS	69,520	23.11	n/a	30-Jun	2,780.80	4.0
GLG PARTNERS	034	JCP	SS	100,000	23.10	n/a	30-Jun	3,000.00	3.0
TPG-AXON	040	JNJ	SS	115,000	60.96	n/a	n/a	5,750.00	5.0
CAVU CAP ADV	028	JWN	B	30,000	33.91	n/a	30-Jun	1,500.00	5.0
GLG PARTNERS	034	KSS	B	37,500	46.71	n/a	30-Jun	1,125.00	3.0
TRELLUS PARTNERS LP	028	LVS	B	15,000	23.40	n/a	7-Jul	750.00	5.0
T. ROWE PRICE	033	MCD	B	18,700	68.66	n/a	8-Jul	748.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	7,100	9.95	n/a	7-Jul	284.00	4.0
EXIS CAPITAL	044	M	B	10,000	17.96	n/a	30-Jun	500.00	5.0
KACELA CAPITAL	034	M	B	50,000	18.24	n/a	30-Jun	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	M	S	100,000	17.92	n/a	30-Jun	3,500.00	3.5
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	17.59	n/a	28-Jun	400.00	4.0
MELLON/BANK OF NEW YORK	046	NZ	B	81,000	13.90	n/a	n/a	4,050.00	5.0
BNP PARIBAS SEC	040	PSS	B	7,500	15.87	n/a	n/a	300.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	140,000	46.94	n/a	26-May	4,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	SCHW	S	290,320	14.11	n/a	n/a	17,419.20	6.0
BMO NESBITT BURNS	041	SSCC	B	9,000	19.34	n/a	8-Jul	360.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TXIC	B	20,000	4.61		n/a	n/a	1,000.00 5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	50,000	34.02	n/a	n/a	1,750.00	3.5
BMO NESBITT BURNS	041	USG	SS	8,000	12.66	n/a	28-Jun	320.00	4.0
RBC CAPITAL MARKETS	040	VALE	SS	50,000	25.34	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	WEN	B	50,000	3.92	n/a	8-Jul	2,500.00	5.0
MILLENIUM PARTNERS	028	WMT	B	45,000	48.91	n/a	19-May	1,800.00	4.0
BROADARCH CAP/OLD NEWC	070	XCO	B	8,300	15.07	n/a	n/a	332.00	4.0
JP MORGAN VENTURES	046	YUM	S	15,000	40.09	n/a	8-Jul	750.00	5.0
MELLON/BANK OF NEW YORK	046	ZMH	B	27,825	55.84	n/a	n/a	1,391.25	5.0
TOTAL (Trade Date) :								121,173.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST270)	035	CBE	S	4,925	44.18	n/a	27-May	147.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST220)	035	CBE	S	275	44.18	n/a	27-May	8.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST267)	035	CBE	S	6,875	44.18	n/a	27-May	206.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST266)	035	CBE	S	10,100	44.18	n/a	27-May	303.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST264)	035	CBE	S	175	44.18	n/a	27-May	5.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST265)	035	CBE	S	100	44.18	n/a	27-May	3.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST263)	035	CBE	S	125	44.18	n/a	27-May	3.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST261)	035	CBE	S	6,000	44.18	n/a	27-May	180.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST260)	035	CBE	S	13,700	44.18	n/a	27-May	411.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST253)	035	CBE	S	4,075	44.18	n/a	27-May	122.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST255)	035	CBE	S	1,200	44.18	n/a	27-May	36.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST256)	035	CBE	S	250	44.18	n/a	27-May	7.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST170)	035	CBE	S	1,475	44.18	n/a	27-May	44.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST251)	035	CBE	S	6,575	44.18	n/a	27-May	197.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST249)	035	CBE	S	15,050	44.18	n/a	27-May	451.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST243)	035	CBE	S	6,250	44.18	n/a	27-May	187.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST244)	035	CBE	S	9,450	44.18	n/a	27-May	283.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST245)	035	CBE	S	2,550	44.18	n/a	27-May	76.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST247)	035	CBE	S	4,200	44.18	n/a	27-May	126.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST242)	035	CBE	S	3,650	44.18	n/a	27-May	109.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST246)	035	CBE	S	3,725	44.18	n/a	27-May	111.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST241)	035	CBE	S	400	44.18	n/a	27-May	12.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST232)	035	CBE	S	2,225	44.18	n/a	27-May	66.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST221)	035	CBE	S	175	44.18	n/a	27-May	5.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST218)	035	CBE	S	2,200	44.18	n/a	27-May	66.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST224)	035	CBE	S	400	44.18	n/a	27-May	12.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST222)	035	CBE	S	275	44.18	n/a	27-May	8.25 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST216)	035	CBE	S	8,100	44.18	n/a	27-May	243.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST211)	035	CBE	S	250	44.18	n/a	27-May	7.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST210)	035	CBE	S	350	44.18	n/a	27-May	10.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST208)	035	CBE	S	250	44.18	n/a	27-May	7.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST206)	035	CBE	S	150	44.18	n/a	27-May	4.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST207)	035	CBE	S	650	44.18	n/a	27-May	19.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST196)	035	CBE	S	75	44.18	n/a	27-May	2.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST9)	035	CBE	S	3,700	44.18	n/a	27-May	111.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST194)	035	CBE	S	825	44.18	n/a	27-May	24.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST195)	035	CBE	S	9,325	44.18	n/a	27-May	279.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST193)	035	CBE	S	450	44.18	n/a	27-May	13.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST199)	035	CBE	S	1,800	44.18	n/a	27-May	54.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST199)	035	CBE	S	150	44.18	n/a	27-May	4.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST47)	035	CBE	S	775	44.18	n/a	27-May	23.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST50)	035	CBE	S	50	44.18	n/a	27-May	1.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST51)	035	CBE	S	1,600	44.18	n/a	27-May	48.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST35)	035	CBE	S	2,125	44.18	n/a	27-May	63.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST16)	035	CBE	S	150	44.18	n/a	27-May	4.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST22)	035	CBE	S	475	44.18	n/a	27-May	14.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST15)	035	CBE	S	175	44.18	n/a	27-May	5.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST1)	035	CBE	S	175	44.18	n/a	27-May	5.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST184)	035	CBE	S	125	44.18	n/a	27-May	3.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST155)	035	CBE	S	850	44.18	n/a	27-May	25.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST178)	035	CBE	S	75	44.18	n/a	27-May	2.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST173)	035	CBE	S	4,400	44.18	n/a	27-May	132.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST177)	035	CBE	S	1,900	44.18	n/a	27-May	57.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST283)	035	CBE	S	2,250	44.18	n/a	27-May	67.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST168)	035	CBE	S	53,600	44.18	n/a	27-May	1608.00 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST282)	035	CBE	S	425	44.18	n/a	27-May	12.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST163)	035	CBE	S	225	44.18	n/a	27-May	6.75 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST281)	035	CBE	S	3,150	44.18	n/a	27-May	94.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST120)	035	CBE	S	5,425	44.18	n/a	27-May	162.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST11)	035	CBE	S	350	44.18	n/a	27-May	10.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST107)	035	CBE	S	1,625	44.18	n/a	27-May	48.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST279)	035	CBE	S	1,475	44.18	n/a	27-May	44.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST96)	035	CBE	S	4,575	44.18	n/a	27-May	137.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST278)	035	CBE	S	2,925	44.18	n/a	27-May	87.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST49)	035	CBE	S	275	44.18	n/a	27-May	8.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST277)	035	CBE	S	1,175	44.18	n/a	27-May	35.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST43)	035	CBE	S	1,375	44.18	n/a	27-May	41.25 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST272)	035	CBE	S	3,525	44.18	n/a	27-May	105.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST268)	035	CBE	S	250	44.18	n/a	27-May	7.50 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST269)	035	CBE	S	525	44.18	n/a	27-May	15.75 3.0
AO,	07/07	SYSTEMATIC FINANCIAL MGT (SYST271)	035	CBE	S	750	44.18	n/a	27-May	22.50 3.0

TOTAL (AO, CXL, CRT) :	6,877.50
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TOTAL (Trade Date) :	121,173.98
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TOTAL (AO, CXL, CRT) :	6,877.50
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TOTAL (RUN DATE) / NFS :	128,051.48
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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