



## Daily Compliance Activity Report

Trade Date: 07/11/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	B	50,000	13.58	n/a	26-May	2,500.00	5.0
NEWLAND CAPITAL MGT	025	AXL	S	30,000	11.08	n/a	7-Jul	1,200.00	4.0
ASCEND PARTNERS	033	BA	S	20,000	73.21	n/a	7-Jul	800.00	4.0
BRONSON POINT	036	CAG	S	25,000	26.15	n/a	n/a	750.00	3.0
SANDLER O'NEILL ASSET	031	C	B	5,000	40.04	n/a	1-Jul	100.00	2.0
PARAMETER CAPITAL MGMT LLC044		DB	S	50,600	53.56	n/a	n/a	2,024.00	4.0
PARAMETER CAPITAL MGMT LLC044		FCX	SS	35,000	53.50	n/a	n/a	1,400.00	4.0
PARAMETER CAPITAL MGMT LLC044		FDX	SS	2,500	95.50	n/a	n/a	100.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	FII	SS	85,000	23.41	n/a	2-Mar	2,975.00	3.5
BNP PARIBAS SEC	040	FL	B	75,000	23.58	n/a	2-Jun	3,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>20,000</b>	<b>54.18</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
TUDOR INVESTORS	028	GDI	B	2,000	84.15	n/a	n/a	60.00	3.0
TUDOR INVESTORS	028	GES	SS	47,500	42.59	n/a	26-May	1,425.00	3.0
DENVER INST. ADV	046	IHG	S	35,000	20.42	n/a	n/a	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	IR	B	8,000	45.53	n/a	19-May	240.00	3.0
BALYASNY ASSET MGMT	044	JCP	C	10,000	32.00	n/a	8-Jul	500.00	5.0
PZENA INV ADV	044	JPM	B	950	39.50	n/a	1-Jul	33.25	3.5
BALLAST CAP	040	LOW	SS	5,200	23.25	n/a	13-Jun	260.00	5.0
MACQUARIE INVESTMENT MGMT.	040	LTD	B	5,000	40.38	n/a	n/a	0.00	0.0
ROYCE TRADING	012	MLI	B	500	42.92	n/a	27-Apr	25.00	5.0
FORTRESS INVESTMENT (US)	036	MS	B	100,000	21.83	n/a	1-Jul	4,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	NKE	SS	1,000	91.30	n/a	1-Jul	0.00	0.0
TUDOR INVESTORS	028	OC	B	3,000	36.27	n/a	n/a	90.00	3.0
COLUMBUS CIRCLE	036	PAY	S	4,943	43.73	n/a	n/a	197.72	4.0
PARAMETER CAPITAL MGMT LLC	044	PH	B	10,000	86.42	n/a	28-Apr	400.00	4.0
MERRILL ASSET/BLACKROCK	297	PJC	S	6,388	27.62	n/a	n/a	255.52	4.0
CATAPULT	040	POT	S	20,000	57.68	n/a	n/a	800.00	4.0
MACQUARIE INVESTMENT MGMT.	040	POT	S	10,000	58.27	n/a	n/a	0.00	0.0
FORTRESS INVESTMENT (US)	036	SLM	B	300,000	16.34	n/a	19-May	12,000.00	4.0
ASCEND PARTNERS	033	SPR	S	5,100	21.00	n/a	24-Jun	204.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	5.46	n/a	n/a	800.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TGT	B	5,000	50.69	n/a	7-Jul	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	TJX	B	5,000	55.55	n/a	8-Jul	0.00	0.0
MERRILL ASSET/BLACKROCK	297	TTI	B	34,700	12.26	n/a	n/a	1,388.00	4.0
TUDOR INVESTORS	028	UPS	B	2,000	73.89	n/a	n/a	60.00	3.0
ROTHSCHILD ASSET	040	URS	B	4,380	44.64	n/a	n/a	175.20	4.0
<b>KENNEDY CAPITAL</b>	<b>098</b>	<b>WEN</b>	<b>S</b>	<b>136,100</b>	<b>5.43</b>	<b>n/a</b>	<b>11-Jul</b>	<b>4,083.00</b>	<b>3.0</b>
AVESTA CAP	229	WMT	C	100,000	53.95	n/a	18-May	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>70,000</b>	<b>53.77</b>	<b>n/a</b>	<b>6-May</b>	<b>2,100.00</b>	<b>3.0</b>
CAERUS GLOBAL	041	WWW	B	14,000	42.47	n/a	n/a	560.00	4.0
MACQUARIE INVESTMENT MGMT.	040	XLP	SS	10,000	31.46	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>50,255.69</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									50,255.69
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									50,255.69
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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