



Daily Compliance Activity Report

Trade Date: 08/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ABT	B	800	49.52	n/a	n/a	32.00	4.0
HIGHBRIDGE CAP	041	AEO	SS	15,622	12.78	n/a	26-May	468.66	3.0
HIGHBRIDGE CAP	041	ANN	SS	5,348	24.85	n/a	n/a	160.44	3.0
BUCK CAPITAL MGMT	001	ARO	SS	30,000	16.47	n/a	20-May	900.00	3.0
HUNTER GLOBAL INVESTOR	028	AXL	SS	40,000	10.71	n/a	1-Aug	1,200.00	3.0
TUDOR INVESTORS	028	AXL	SS	10,000	10.66	n/a	1-Aug	300.00	3.0
TUDOR INVESTORS	028	BA	S	5,000	67.26	n/a	29-Jul	150.00	3.0
HIGHBRIDGE CAP	041	BBBY	B	6,000	54.21	n/a	n/a	180.00	3.0
BALLAST CAP	040	BC	B	10,000	19.84	n/a	n/a	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	BHI	S	2,000	73.04	n/a	n/a	0.00	0.0
CHALSON	041	BYI	B	1,500	37.43	n/a	n/a	60.00	4.0
COOPER CREEK PART	028	BZ	S	100,000	6.27	n/a	n/a	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	CGI	B	2,210	12.75	n/a	n/a	88.40	4.0
MACQUARIE INVESTMENT MGMT.	040	CHD	S	5,000	40.01	n/a	20-Jun	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	CHK	S	5,000	33.84	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	CHMT	SS	63,260	16.37	n/a	18-Feb	2,530.40	4.0
SURVEYOR CAPITAL	041	CHRW	S	2,000	71.44	n/a	n/a	60.00	3.0
HIGHBRIDGE CAP	041	CL	SS	4,123	84.10	n/a	1-Aug	123.69	3.0
TRUSTCO/SUNTRUST	040	CMCSA	B	262,600	22.68	n/a	n/a	9,191.02	3.5
TUDOR INVESTORS	028	CMI	S	5,000	99.20	n/a	27-Jul	150.00	3.0
HIGHBRIDGE CAP	041	CPB	SS	12,253	32.77	n/a	n/a	367.59	3.0
CHALSON	041	CPO	B	5,000	50.53	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	CSX	SS	10,000	23.48	n/a	n/a	300.00	3.0
INVESCO	031	CVS	S	63,437	35.75	n/a	n/a	2,537.48	4.0
SURVEYOR CAPITAL	041	DAN	B	10,000	15.17	n/a	29-Jul	300.00	3.0
TUDOR INVESTORS	028	DAN	B	10,000	15.22	n/a	29-Jul	300.00	3.0
BUCK CAPITAL MGMT	001	DDS	B	20,000	54.88	n/a	n/a	600.00	3.0
HIGHBRIDGE CAP	041	DKS	B	8,000	34.95	n/a	18-May	240.00	3.0
NEUBERGER BERMAN	036	DPL	S	40,800	30.13	n/a	n/a	1,632.00	4.0
Ö James Mitchell		DRL	B	6000	1.6284	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	EXPD	SS	5,000	47.62	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
James Mitchell		FBC	B	14000	0.7380	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	2,000	20.29	n/a	24-Jun	100.00	5.0
EGS ASSOCIATES LP	091	FL	B	3,100	20.45	n/a	2-Aug	186.00	6.0
ARCHON CAPITAL	035	FNGN	S	158,000	22.86	n/a	n/a	4,740.00	3.0
BRONSON POINT	036	F	B	200,000	11.64	n/a	3-Aug	6,000.00	3.0
BUCK CAPITAL MGMT	001	GES	B	10,000	37.59	n/a	18-Jul	300.00	3.0
WALL STREET CAPITAL	084	GLUU	S	25,000	4.27	n/a	n/a	875.00	3.5
OZ MGMT	040	GM	B	155,000	26.86	n/a	3-Aug	4,650.00	3.0
TRELLUS PARTNERS LP	028	GM	B	50,000	26.57	n/a	3-Aug	2,500.00	5.0
HIGHBRIDGE CAP	041	GPS	SS	20,450	18.88	n/a	n/a	613.50	3.0
TUDOR INVESTORS	028	GR	B	3,000	92.82	n/a	2-Aug	90.00	3.0
NEUBERGER BERMAN	036	GXP	B	62,800	19.85	n/a	n/a	2,512.00	4.0
HIGHBRIDGE CAP	041	HD	B	15,333	32.74	n/a	18-May	459.99	3.0
HIGHBRIDGE CAP	041	HNZ	SS	4,358	51.40	n/a	n/a	130.74	3.0
CHALSON	041	HOG	B	11,000	41.32	n/a	n/a	440.00	4.0
TUDOR INVESTORS	028	HON	SS	3,000	51.29	n/a	2-Aug	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	HTZ	S	5,000	13.30	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	HUBB	B	5,000	57.30	n/a	n/a	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	HUN	B	25,000	17.90	n/a	n/a	0.00	0.0
OZ MGMT	040	IP	S	50,000	28.17	n/a	28-Jul	1,500.00	3.0
TUDOR INVESTORS	028	IP	SS	10,000	28.14	n/a	28-Jul	300.00	3.0
SURVEYOR CAPITAL	041	ITW	SS	7,000	48.76	n/a	27-Jul	210.00	3.0
TUDOR INVESTORS	028	ITW	SS	5,000	49.00	n/a	27-Jul	150.00	3.0
TUDOR INVESTORS	028	JCI	SS	3,000	36.23	n/a	20-Jul	90.00	3.0
THE JAY GOLDMAN	028	JCP	S	25,000	30.75	n/a	28-Jul	1,000.00	4.0
PRIMECAP MGMT	084	JNJ	B	26,400	62.52	n/a	n/a	1,056.00	4.0
CHALSON	041	KMB	B	10,500	64.26	n/a	25-Jul	420.00	4.0
HIGHBRIDGE CAP	041	KSS	B	12,333	51.77	n/a	28-Jul	369.99	3.0
THE JAY GOLDMAN	028	KSS	B	15,000	51.82	n/a	28-Jul	600.00	4.0
CHALSON	041	K	B	4,200	54.16	n/a	n/a	168.00	4.0
BRONSON POINT	036	LEA	C	30,000	45.76	n/a	14-Jul	900.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	LEA	B	3,500	46.22	n/a	14-Jul	175.00	5.0
OZ MGMT	040	LEA	B	44,792	46.82	n/a	14-Jul	1,343.76	3.0
TUDOR INVESTORS	028	LEA	B	3,000	46.00	n/a	14-Jul	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	LIFE	B	7,000	42.99	n/a	n/a	280.00	4.0
CASTLEROCK	040	LOW	B	100,000	20.24	n/a	3-Aug	4,000.00	4.0
DC CAPITAL	044	LPX	B	75,000	6.97	n/a	19-Jul	2,250.00	3.0
MACQUARIE INVESTMENT MGMT.	040	LTD	S	5,000	36.03	n/a	n/a	0.00	0.0
CHALSON	041	LVS	B	5,500	45.61	n/a	13-Jun	220.00	4.0
NEUBERGER BERMAN	036	LVS	B	385,727	46.49	n/a	13-Jun	15,429.08	4.0
KENNEDY CAPITAL	046	MED	B	20,000	18.97	n/a	n/a	800.00	4.0
ARMATURE CAPITAL	041	MGA	B	40,000	46.36	n/a	n/a	1,600.00	4.0
CHALSON	041	MGM	B	15,000	13.80	n/a	13-Jun	600.00	4.0
CHALSON	041	MW	B	9,000	31.58	n/a	n/a	360.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	27.67	n/a	28-Jul	1,000.00	5.0
PILOT ADV	041	M	S	10,000	27.49	n/a	28-Jul	400.00	4.0
TUDOR INVESTORS	028	NUE	B	5,000	37.03	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	OC	S	10,000	31.12	n/a	n/a	300.00	3.0
HIGHBRIDGE CAP	041	ORLY	SS	6,973	57.82	n/a	n/a	209.19	3.0
TUDOR INVESTORS	028	OSK	S	10,000	22.89	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	PCAR	B	15,000	39.75	n/a	27-Jul	0.00	0.0
TUDOR INVESTORS	028	PCL	S	5,000	37.26	n/a	27-Jul	150.00	3.0
JENNISON	070	PCS	B	850,000	10.22	n/a	n/a	31,450.01	3.7
CHALSON	041	PENN	B	5,000	40.16	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	PETM	B	8,333	42.39	n/a	n/a	249.99	3.0
TUDOR INVESTORS	028	PH	S	5,000	72.14	n/a	3-Aug	150.00	3.0
ROYCE TRADING	012	PLCE	B	1,000	45.38	n/a	8-Jun	50.00	5.0
SURVEYOR CAPITAL	041	PPO	SS	7,000	69.63	n/a	n/a	210.00	3.0
HAHN CAPITAL MANAGEMENT	084	PVH	B	44,186	67.36	n/a	18-Jul	2,209.30	5.0
HIGHBRIDGE CAP	041	PVH	B	3,000	67.96	n/a	18-Jul	90.00	3.0
TUDOR INVESTORS	028	RBN	B	6,000	46.56	n/a	n/a	180.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	S	50,000	58.62	n/a	27-Jul	1,500.00	3.0
SHEFFIELD ASSET MGMT	031	RKT	B	10,000	59.29	n/a	27-Jul	400.00	4.0
TUDOR INVESTORS	028	RKT	B	4,000	60.76	n/a	27-Jul	120.00	3.0
CHALSON	041	ROST	B	7,000	75.39	n/a	n/a	280.00	4.0
TUDOR INVESTORS	028	RSG	B	5,000	27.92	n/a	n/a	150.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	43,100	59.97	n/a	1-Aug	1,724.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	SBUX	S	10,000	38.54	n/a	29-Jul	0.00	0.0
TUDOR INVESTORS	028	SHOO	B	25,000	38.22	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	SIG	B	10,333	39.43	n/a	n/a	309.99	3.0
HIGHBRIDGE CAP	041	SKUL	B	3,333	17.06	n/a	n/a	99.99	3.0
JANA CAPITAL	044	SPY	SS	49,100	125.28	n/a	n/a	1,964.00	4.0
TUDOR INVESTORS	028	SWK	B	4,000	63.73	n/a	n/a	120.00	3.0
OZ MGMT	040	TGT	B	100,000	49.53	n/a	2-Aug	3,000.00	3.0
MACQUARIE INVESTMENT MGMT.	040	TJX	S	5,000	52.83	n/a	28-Jul	0.00	0.0
TUDOR INVESTORS	028	TKR	S	5,000	41.28	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	TRN	S	13,000	26.73	n/a	n/a	390.00	3.0
HIGHBRIDGE CAP	041	UA	B	5,333	68.15	n/a	27-Jul	159.99	3.0
CHALSON	041	ULTA	B	11,000	60.90	n/a	n/a	440.00	4.0
HIGHBRIDGE CAP	041	URBN	SS	5,255	30.71	n/a	n/a	157.65	3.0
MASTERS CAPITAL MANAGE	025	VLO	B	50,000	22.89	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	WBS	B	84,555	20.04	n/a	n/a	3,382.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	WEN	B	98,425	5.10	n/a	11-Jul	2,952.75	3.0
HIGHBRIDGE CAP	041	WMT	SS	10,979	51.48	n/a	18-May	329.37	3.0
HIGHBRIDGE CAP	041	WRC	B	8,594	53.34	n/a	2-Aug	257.82	3.0
HIGHBRIDGE CAP	041	WSM	B	11,000	34.10	n/a	n/a	330.00	3.0
TUDOR INVESTORS	028	WY	B	15,000	18.84	n/a	29-Jul	450.00	3.0
KLEINHEINZ CAP PART	031	YUM	S	125,000	50.74	n/a	14-Jul	6,250.00	5.0
TOTAL (Trade Date) :								148,586.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/02	HUNTER GLOBAL INVESTOR (HUNTIJPMORG)	028	GM	B	65,000	27.80	n/a	3-Aug	1950.00 3.0
AO,CRT	08/02	HUNTER GLOBAL INVESTOR (HUNTIJPMORG)	028	GM	B	65,000	27.80	n/a	3-Aug	3250.00 5.0

TOTAL (AO, CXL, CRT) :	1,300.00
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TOTAL (Trade Date) :	148,586.99
TOTAL (AO, CXL, CRT) :	1,300.00

TOTAL (RUN DATE) / NFS:	149,886.99
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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