



## Daily Compliance Activity Report

Trade Date: 08/02/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	AAN	SS	3,074	25.40	n/a	n/a	153.70	5.0
GALT INVESTMENT	041	AAP	B	20,000	54.81	n/a	n/a	1,000.00	5.0
LATEFF MGMT	035	AA	B	200	14.52	n/a	n/a	40.00	20.0
HIGHBRIDGE CAP	041	AEO	SS	15,634	12.80	n/a	26-May	469.02	3.0
LATEFF MGMT	035	ALL	B	1,500	27.80	n/a	n/a	150.00	10.0
DAVIDSON KEMPNER ADVISOR	040	AMCX	B	10,000	37.30	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	ANN	SS	5,457	25.19	n/a	n/a	163.71	3.0
SURVEYOR CAPITAL	041	APA	B	10,000	121.73	n/a	15-Jul	300.00	3.0
SURVEYOR CAPITAL	041	APC	S	15,000	82.02	n/a	26-Jul	450.00	3.0
HUNTER GLOBAL INVESTOR	028	AXL	SS	220,000	11.22	n/a	1-Aug	6,600.00	3.0
HIGHBRIDGE CAP	041	BBBY	B	5,900	56.22	n/a	n/a	177.00	3.0
SCOPUS FUND	041	CBE	S	130,800	51.15	n/a	26-Apr	5,232.00	4.0
SURVEYOR CAPITAL	041	CHK	S	15,000	34.42	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	CL	SS	4,130	84.42	n/a	1-Aug	123.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	CMI	B	2,500	101.18	n/a	27-Jul	75.00	3.0
HOTCHKIS & WILEY	035	CNW	B	15,600	35.35	n/a	n/a	780.00	5.0
SURVEYOR CAPITAL	041	COG	S	10,000	74.43	n/a	28-Jul	300.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	COH	B	2,000	62.97	n/a	18-Jul	100.00	5.0
TUDOR INVESTORS	028	COL	S	5,000	53.47	n/a	2-Aug	150.00	3.0
HIGHBRIDGE CAP	041	CPB	SS	12,242	32.75	n/a	n/a	367.26	3.0
LATEFF MGMT	035	CVS	B	250	36.57	n/a	n/a	50.00	20.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	31.38	n/a	n/a	400.00	4.0
WALL STREET CAPITAL	084	DE	S	5,000	77.79	n/a	19-May	225.00	4.5
HIGHBRIDGE CAP	041	DKS	B	8,112	35.91	n/a	18-May	243.36	3.0
FIRST NY SEC/CHRIS	041	DRYS	B	36,900	3.70	n/a	n/a	1,107.00	3.0
SURVEYOR CAPITAL	041	DVN	B	20,000	76.65	n/a	15-Jul	600.00	3.0
CAPITAL GROWTH MGMT.	241	EMC	S	550,000	25.30	n/a	n/a	22,000.00	4.0
SURVEYOR CAPITAL	041	EOG	B	8,300	100.09	n/a	n/a	249.00	3.0
TUDOR INVESTORS	028	ETN	S	5,000	47.06	n/a	25-Jul	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	FL	B	60,000	21.13	n/a	2-Aug	3,000.00	5.0
BALYASNY ASSET MGMT	044	FL	S	15,000	21.11	n/a	2-Aug	750.00	5.0
GREEN ARROW DOUG	040	FL	B	15,000	21.54	n/a	2-Aug	750.00	5.0
OZ MGMT	040	F	S	115,757	11.92	n/a	1-Aug	3,472.71	3.0
LATEFF MGMT	035	GE	B	125	17.39	n/a	n/a	31.25	25.0
MACQUARIE INVESTMENT MGMT.	040	GE	SS	50,000	17.24	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	GMT	B	5,000	38.48	n/a	n/a	150.00	3.0
AAD CAPITAL	084	GM	B	50,000	27.77	n/a	1-Aug	2,000.00	4.0
BMO NESBITT BURNS	041	GM	B	4,000	28.00	n/a	1-Aug	160.00	4.0
HUNTER GLOBAL INVESTOR	028	GM	B	65,000	27.80	n/a	1-Aug	1,950.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	GM	B	4,000	27.96	n/a	1-Aug	200.00	5.0
MAPLE LEAF PARTNERS	031	GM	B	50,000	27.86	n/a	1-Aug	2,500.00	5.0
OZ MGMT	040	GM	C	117,401	27.74	n/a	1-Aug	3,522.03	3.0
ROSEDALE CAPITAL	046	GM	B	20,000	27.55	n/a	1-Aug	1,000.00	5.0
TRELLUS PARTNERS LP	028	GM	B	50,000	27.32	n/a	1-Aug	2,500.00	5.0
HIGHBRIDGE CAP	041	GPS	SS	20,649	19.00	n/a	n/a	619.47	3.0
DAVIDSON KEMPNER ADVISOR	040	GRA	S	10,000	50.36	n/a	n/a	500.00	5.0
TUDOR INVESTORS	028	GR	B	2,000	93.96	n/a	2-Aug	60.00	3.0
HIGHBRIDGE CAP	041	HD	B	15,634	33.46	n/a	18-May	469.02	3.0
BMO NESBITT BURNS	041	HIBB	SS	3,000	38.64	n/a	n/a	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	HNZ	SS	4,425	51.91	n/a	n/a	132.75	3.0
SONTERRA CAP	041	HRS	B	40,000	38.70	n/a	4-May	1,600.00	4.0
MERRILL ASSET/BLACKROCK	297	HSC	S	27,600	25.99	n/a	1-Aug	1,104.00	4.0
BNP PARIBAS SEC	040	IP	B	30,000	29.12	n/a	28-Jul	1,500.00	5.0
SURVEYOR CAPITAL	041	ITW	SS	7,000	49.19	n/a	27-Jul	210.00	3.0
PRIMECAP MGMT	084	JNJ	B	14,000	63.85	n/a	n/a	560.00	4.0
HIGHBRIDGE CAP	041	KSS	B	12,387	53.57	n/a	28-Jul	371.61	3.0
WATERFRONT CAP	028	LEN	S	44,500	17.14	n/a	n/a	1,780.00	4.0
LATEFF MGMT	035	LOW	B	2,250	20.75	n/a	13-Jun	225.00	10.0
CAERUS GLOBAL	041	LO	B	33,000	105.51	n/a	n/a	1,320.00	4.0
BMO NESBITT BURNS	041	LPX	B	15,000	7.07	n/a	19-Jul	450.00	3.0
DISCIPLINED GROWTH INV.	030	LTD	B	1,300	36.51	n/a	n/a	65.00	5.0
SANDLER O'NEILL ASSET	031	MA	SS	5,000	304.73	n/a	2-Aug	250.00	5.0
KENNEDY CAPITAL	046	MED	B	50,000	19.84	n/a	n/a	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	MET	S	10,000	39.85	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	MFB	B	101,568	25.60	n/a	n/a	4,062.72	4.0
SURVEYOR CAPITAL	041	MGA	B	9,840	46.90	n/a	n/a	295.20	3.0
DISIPLINED GROWTH INV.	030	MIDD	B	500	82.32	n/a	13-May	25.00	5.0
HOTCHKIS & WILEY	035	MSFT	S	9,200	27.27	n/a	n/a	460.00	5.0
WAGONHOUND/NICOLAS	033	MTOR	S	33,248	11.69	n/a	n/a	1,329.92	4.0
BASIX	033	MTW	B	15,000	13.24	n/a	28-Jul	450.00	3.0
CENTURION PARTNERS	041	M	B	20,000	28.25	n/a	28-Jul	800.00	4.0
PILOT ADV	041	M	S	15,000	28.90	n/a	28-Jul	600.00	4.0
SURVEYOR CAPITAL	041	NSC	SS	5,669	74.09	n/a	n/a	170.07	3.0
TUDOR INVESTORS	028	OC	S	5,000	36.10	n/a	n/a	150.00	3.0
HIGHBRIDGE CAP	041	ORLY	SS	7,080	58.11	n/a	n/a	212.40	3.0
PRIMECAP MGMT	084	ORLY	S	6,000	57.30	n/a	n/a	240.00	4.0
TUDOR INVESTORS	028	OSK	B	2,000	24.51	n/a	n/a	60.00	3.0
HIGHBRIDGE CAP	041	PETM	B	8,407	42.97	n/a	n/a	252.21	3.0
MERRILL ASSET/BLACKROCK	297	PH	B	33,600	73.57	n/a	28-Apr	1,344.00	4.0
SANDLER CAPITAL	028	PH	C	107,000	74.52	n/a	28-Apr	5,350.00	5.0
ROYCE TRADING	012	PLCE	B	11,500	46.08	n/a	8-Jun	575.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	PVH	B	3,245	68.99	n/a	18-Jul	97.35	3.0
TUDOR INVESTORS	028	RBN	B	3,000	49.77	n/a	n/a	90.00	3.0
DISIPLINED GROWTH INV.	030	RCL	B	1,000	29.41	n/a	n/a	50.00	5.0
PRIMECAP MGMT	084	REXX	B	5,000	10.90	n/a	n/a	200.00	4.0
BALLAST CAP	040	RGC	S	15,000	13.06	n/a	n/a	750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RRC	S	20,600	66.22	n/a	27-Jul	1,030.00	5.0
SURVEYOR CAPITAL	041	RRC	S	5,000	65.63	n/a	27-Jul	150.00	3.0
TALPION LLC	040	RRR	SS	15,000	11.16	n/a	22-Jul	600.00	4.0
TUDOR INVESTORS	028	SEE	S	15,000	20.99	n/a	2-Jun	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SIG</b>	<b>B</b>	<b>30,000</b>	<b>40.89</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
HIGHBRIDGE CAP	041	SIG	B	10,325	40.37	n/a	n/a	309.75	3.0
JP MORGAN VENTURES	046	SIG	B	12,000	40.94	n/a	n/a	480.00	4.0
IMPALA ASSET MMT	012	SKS	S	375,000	10.13	n/a	n/a	11,250.00	3.0
HIGHBRIDGE CAP	041	SKUL	B	3,392	18.65	n/a	n/a	101.76	3.0
SURVEYOR CAPITAL	041	SWN	S	12,000	42.77	n/a	29-Jul	360.00	3.0
SONTERRA CAP	041	TIN	B	50,000	29.94	n/a	21-Jul	2,000.00	4.0
TUDOR INVESTORS	028	TKR	B	2,000	42.40	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TRN	S	8,000	28.06	n/a	n/a	240.00	3.0
SURVEYOR CAPITAL	041	TSO	B	80,000	23.97	n/a	n/a	2,400.00	3.0
SURVEYOR CAPITAL	041	TXT	B	10,000	21.72	n/a	n/a	300.00	3.0
HIGHBRIDGE CAP	041	UA	B	5,207	71.50	n/a	27-Jul	156.21	3.0
SURVEYOR CAPITAL	041	UNP	S	2,500	98.38	n/a	n/a	75.00	3.0
TUDOR INVESTORS	028	UNP	B	2,000	101.01	n/a	n/a	60.00	3.0
TUDOR INVESTORS	028	UNP	S	3,000	98.44	n/a	n/a	90.00	3.0
HIGHBRIDGE CAP	041	URBN	SS	5,236	31.15	n/a	n/a	157.08	3.0
SURVEYOR CAPITAL	041	UTX	SS	3,477	80.61	n/a	n/a	104.31	3.0
SURVEYOR CAPITAL	041	VLO	S	79,000	24.23	n/a	n/a	2,370.00	3.0
HIGHBRIDGE CAP	041	WMT	SS	11,062	52.13	n/a	18-May	331.86	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>56.00</b>	<b>n/a</b>	<b>2-Aug</b>	<b>300.00</b>	<b>3.0</b>
HIGHBRIDGE CAP	041	WRC	B	8,555	54.45	n/a	2-Aug	256.65	3.0
SCOPUS FUND	041	WRC	B	12,000	54.95	n/a	2-Aug	480.00	4.0
THOMAS WEISEL ASSET MGMT	035	WRC	S	8,070	54.15	n/a	2-Aug	242.10	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>WRC</b>	<b>B</b>	<b>3,700</b>	<b>54.15</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>WRC</b>	<b>S</b>	<b>3,700</b>	<b>54.15</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	WSM	B	11,062	34.59	n/a	n/a	331.86	3.0
BMO NESBITT BURNS	041	WY	B	4,000	19.13	n/a	29-Jul	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	XEC	S	13,600	83.90	n/a	n/a	408.00	3.0
BMO NESBITT BURNS	041	XLY	B	2,000	39.08	n/a	n/a	80.00	4.0
SENATOR INVESTMENT GROUP	036	XOP	SS	100,000	61.54	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	X	S	5,000	38.14	n/a	n/a	150.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>125,137.24</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/01	BASIX (BASIBARC)	033	GIL	B	6,900	29.32	n/a	29-Jul	207.00 3.0
AO,CRT	08/01	BASIX (BASIBARC)	033	GIL	B	6,400	29.32	n/a	29-Jul	192.00 3.0
AO,CXL	08/01	BASIX (BASIUBS)	033	GIL	B	9,100	29.32	n/a	29-Jul	273.00 3.0
AO,CRT	08/01	BASIX (BASIUBS)	033	GIL	B	9,600	29.32	n/a	29-Jul	288.00 3.0
CRT	08/02	ROSEDALE CAPITAL (ROSEJPM)	046	GM	B	20,000	27.55	n/a	1-Aug	1000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,000.00</b>

TOTAL (Trade Date) :	125,137.24
TOTAL (AO, CXL, CRT) :	1,000.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>126,137.24</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