



## Daily Compliance Activity Report

Trade Date: 07/27/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	200	392.75	n/a	n/a	6.00	3.0
LATEFF MGMT	035	AA	B	2,000	14.94	n/a	n/a	200.00	10.0
EPOCH INV MGMT	030	ABT	B	1,250	51.83	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	AET	B	1,650	41.69	n/a	n/a	49.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>25.90</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
TUDOR INVESTORS	028	ARG	B	5,000	68.45	n/a	24-Jun	150.00	3.0
TALKOT CAPITAL LLC	084	ASH	B	10,000	62.06	n/a	13-Jul	400.00	4.0
CONIFER/ISF	025	ATVI	S	20,000	12.00	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	AXP	B	1,050	50.51	n/a	27-Jul	31.50	3.0
EPOCH INV MGMT	030	BA	B	1,200	70.78	n/a	22-Jul	36.00	3.0
LATEFF MGMT	035	BA	B	500	70.87	n/a	22-Jul	75.00	15.0
TUDOR INVESTORS	028	BA	S	5,000	72.26	n/a	22-Jul	150.00	3.0
SAC CHICAGO ANDREW	031	BBY	B	50,000	28.78	n/a	n/a	1,750.00	3.5
EPOCH INV MGMT	030	BEN	B	800	127.03	n/a	2-Mar	24.00	3.0
NEWLAND CAPITAL MGT	025	BGC	B	50,000	41.03	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	BWA	B	5,000	72.24	n/a	14-Jul	150.00	3.0
<b>Õ Nilsa Vazquez</b>		<b>BZH</b>	<b>B</b>	<b>1000</b>	<b>3.0080</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	CAM	B	1,000	50.60	n/a	n/a	30.00	3.0
SURVEYOR CAPITAL	041	CAR	SS	12,812	15.57	n/a	n/a	384.36	3.0
EPOCH INV MGMT	030	CL	B	400	85.55	n/a	20-Jun	12.00	3.0
SENATOR INVESTMENT GROUP	036	COP	SS	95,800	73.34	n/a	n/a	2,874.00	3.0
SURVEYOR CAPITAL	041	CRDN	B	200	32.00	n/a	n/a	6.00	3.0
CATAPULT	040	CSL	B	15,000	44.12	n/a	n/a	600.00	4.0
LATEFF MGMT	035	CVS	B	1,250	36.05	n/a	n/a	150.00	15.0
MERRILL ASSET/BLACKROCK	297	CYT	B	28,000	57.02	n/a	n/a	1,120.00	4.0
IMPALA ASSET MMT	012	DD	B	48,519	52.46	n/a	15-Jul	2,425.95	5.0
SCOPUS FUND	041	DHR	B	50,000	49.33	n/a	n/a	2,000.00	4.0
ENTRUST CAPITAL	040	EAT	B	14,600	24.72	n/a	11-Jul	730.00	5.0
LATEFF MGMT	035	ENR	S	125	81.45	n/a	27-Jul	37.50	30.0
AVESTA CAP	229	EV	C	50,000	26.75	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	FIS	B	1,600	30.06	n/a	n/a	48.00	3.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FL</b>	<b>B</b>	<b>4,500</b>	<b>22.14</b>	<b>n/a</b>	<b>2-Jun</b>	<b>270.00</b>	<b>6.0</b>
LATEFF MGMT	035	GLW	B	1,500	16.05	n/a	27-Jul	150.00	10.0
OZ MGMT	040	GM	C	58,700	28.08	n/a	14-Jul	1,761.00	3.0
CR INTRINIC INVESTMENT	044	HD	B	25,000	35.78	n/a	18-May	875.00	3.5
BARROW HANLEY MEWHINNEY	031	HPQ	B	108,800	36.63	n/a	n/a	3,808.00	3.5
SURVEYOR CAPITAL	041	HTZ	B	27,006	14.70	n/a	n/a	810.18	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	100,000	29.87	n/a	19-Jul	5,000.00	5.0
BESSIMER TRUST	085	IR	S	267,000	37.94	n/a	21-Jul	10,680.00	4.0
TALPION LLC	040	ITT	B	5,000	54.90	n/a	4-May	200.00	4.0
PRIMECAP MGMT	084	JNJ	B	40,000	65.29	n/a	n/a	1,600.00	4.0
MFP INVESTORS	085	JNS	B	35,100	8.46	n/a	n/a	1,404.00	4.0
BASIX	033	JNY	B	44,700	12.59	n/a	18-Jul	1,341.00	3.0
LATEFF MGMT	035	KFT	B	1,000	34.56	n/a	n/a	100.00	10.0
BALYASNY ASSET MGMT	044	KMT	C	25,000	41.00	n/a	29-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	LDR	S	2,888	57.59	n/a	n/a	115.52	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	9,000	49.76	n/a	14-Jul	270.00	3.0
PRIMECAP MGMT	084	LTD	B	12,000	37.84	n/a	n/a	480.00	4.0
BARROW HANLEY MEWHINNEY	031	MDT	B	108,000	35.99	n/a	n/a	3,780.00	3.5
KENNEDY CAPITAL	046	MED	B	25,000	20.00	n/a	n/a	1,000.00	4.0
BASIX	033	MTW	B	130,000	15.14	n/a	3-May	3,900.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	32.63	n/a	27-Jul	2,500.00	5.0
CR INTRINIC INVESTMENT	044	M	B	30,000	29.30	n/a	8-Jul	1,050.00	3.5
SAC CHICAGO ANDREW	031	M	B	20,000	29.12	n/a	8-Jul	700.00	3.5
CAMBIAR CAP	046	NAV	B	175,000	51.66	n/a	8-Jun	7,000.00	4.0
LATEFF MGMT	035	NUE	B	500	39.08	n/a	n/a	50.00	10.0
EPOCH INV MGMT	030	NYX	B	2,450	34.25	n/a	n/a	73.50	3.0
EPOCH INV MGMT	030	OXY	B	550	101.43	n/a	n/a	16.50	3.0
IMPALA ASSET MMT	012	OXY	B	20,000	101.22	n/a	n/a	1,000.00	5.0
LATEFF MGMT	035	PKG	B	1,250	26.86	n/a	19-Jul	125.00	10.0
EPOCH INV MGMT	030	PNC	B	850	54.58	n/a	n/a	25.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	PPG	B	25,000	85.45	n/a	21-Jul	1,250.00	5.0
EPOCH INV MGMT	030	PRU	B	1,350	58.32	n/a	n/a	40.50	3.0
EPOCH INV MGMT	030	PX	B	950	101.82	n/a	27-Jul	28.50	3.0
PRIMECAP MGMT	084	RIMM	B	76,100	26.23	n/a	n/a	3,044.00	4.0
TUDOR INVESTORS	028	RTN	B	3,000	45.16	n/a	19-Jul	90.00	3.0
LATEFF MGMT	035	SPLS	B	500	15.96	n/a	n/a	50.00	10.0
PZENA INV ADV	044	SPLS	B	200,000	15.99	n/a	n/a	7,000.09	3.5
SAC TRADING TOM LEDDY	035	SPLS	SS	30,000	16.06	n/a	n/a	1,050.00	3.5
CR INTRINIC INVESTMENT	044	TGT	SS	30,000	50.57	n/a	7-Jul	1,050.00	3.5
SYSTEMATIC FINANCIAL MGT	035	TRN	B	85,775	32.21	n/a	n/a	2,573.25	3.0
TUDOR INVESTORS	028	TRN	S	5,000	33.50	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	012	UPS	B	100,000	70.22	n/a	n/a	5,000.00	5.0
CR INTRINIC INVESTMENT	044	WMT	B	20,000	53.66	n/a	18-May	700.00	3.5
TUDOR INVESTORS	028	WTW	B	10,000	76.34	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	YUM	B	50,020	52.97	n/a	14-Jul	1,500.60	3.0
<b>TOTAL (Trade Date) :</b>								<b>93,539.45</b>	

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	07/26	CONIFER/ISF (CONIISFJPM)	025	ATVI	S	30,000	12.17	n/a	n/a	1200.00	4.0
AO,CXL	07/26	CONIFER/ISF (CONIISFRIP)	025	ATVI	S	30,000	12.17	n/a	n/a	1200.00	4.0
CRT	07/27	NEWLAND CAPITAL MGT (NEWLGS)	025	BGC	B	50,000	41.03	n/a	n/a	2000.00	4.0
CRT	07/27	EGS ASSOCIATES LP (EGASBANC O)	091	FL	B	4,500	22.14	n/a	2-Jun	270.00	6.0
AO,CXL	07/26	MFP INVESTORS (MFPIGS)	085	JNS	B	6,000	8.85	n/a	n/a	300.00	5.0
AO,CRT	07/26	MFP INVESTORS (MFPIGS)	085	JNS	B	6,000	8.85	n/a	n/a	240.00	4.0
TOTAL (AO, CXL, CRT) :										2,210.00	
TOTAL (Trade Date) :										93,539.45	
TOTAL (AO, CXL, CRT) :										2,210.00	
TOTAL (RUN DATE) / NFS:										95,749.45	

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