



Daily Compliance Activity Report

Trade Date: 07/12/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	AA	S	5,000	15.90	n/a	n/a	150.00	3.0
DAVIDSON INV ADV	035	ADM	B	36,495	30.78	n/a	11-Jul	1,459.80	4.0
GREEN ARROW DOUG	040	ANN	B	15,000	25.41	n/a	n/a	750.00	5.0
JP MORGAN VENTURES	046	ANN	S	15,000	25.92	n/a	n/a	600.00	4.0
NEUBERGER BERMAN	036	ARUN	S	25,500	28.02	n/a	n/a	1,020.00	4.0
IVORY CAPITAL	034	BUD	B	100,000	54.76	n/a	29-Jun	5,000.00	5.0
KENNEDY CAPITAL	046	CBK	S	2,501	6.75	n/a	n/a	75.03	3.0
DAVIDSON INV ADV	035	CHD	S	27,450	42.13	n/a	20-Jun	1,098.00	4.0
IMPALA ASSET MMT	012	CHD	B	10,000	41.79	n/a	20-Jun	500.00	5.0
SHIKIAR ASSET	029	CHKM	B	17,800	28.06	n/a	n/a	890.00	5.0
JP MORGAN VENTURES	046	CHRS	S	10,000	4.40	n/a	n/a	300.00	3.0
PERRY PARTNERS	085	C	S	50,000	39.87	n/a	1-Jul	2,500.00	5.0
LATEFF MGMT	035	DAL	B	250	8.67	n/a	n/a	37.50	15.0
SAC CHICAGO ANDREW	031	DG	SS	32,222	33.36	n/a	2-Jun	1,127.77	3.5
SAC TRADING TOM LEDDY	035	DLTR	SS	15,000	69.12	n/a	20-May	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jill Rosenberg		ESRX	B	700	53.6984	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	FCX	S	5,000	54.74	n/a	n/a	150.00	3.0
DAVIDSON KEMPNER ADVISOR	040	FDO	B	10,000	52.51	n/a	1-Jul	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	FDO	S	6,500	53.09	n/a	1-Jul	325.00	5.0
BNP PARIBAS SEC	040	FL	B	95,500	23.41	n/a	2-Jun	4,775.00	5.0
OZ MGMT	040	F	B	100,000	13.31	n/a	5-Jul	3,000.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	13.34	n/a	5-Jul	5,000.00	5.0
TUDOR INVESTORS	028	F	B	10,000	13.31	n/a	5-Jul	300.00	3.0
GREEN ARROW DOUG	040	GES	SS	12,500	40.80	n/a	26-May	625.00	5.0
GREEN ARROW DOUG	040	GES	S	2,500	40.80	n/a	26-May	125.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GES	B	5,000	40.77	n/a	26-May	0.00	0.0
BALLAST CAP	040	GG	B	4,900	50.80	n/a	n/a	245.00	5.0
LATEFF MGMT	035	GLW	B	500	17.00	n/a	20-May	50.00	10.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	75,000	18.84	n/a	n/a	2,625.00	3.5
TUDOR INVESTORS	028	GT	B	5,000	17.23	n/a	n/a	150.00	3.0
GREEN ARROW DOUG	040	HAS	S	15,000	43.31	n/a	n/a	750.00	5.0
DENVER INST. ADV	046	IHG	S	55,144	20.16	n/a	n/a	2,205.76	4.0
TUDOR INVESTORS	028	ITT	B	5,000	57.45	n/a	4-May	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	085	JNS	B	100,000	9.26	n/a	n/a	4,000.00	4.0
PILOT ADV	048	JNY	SS	15,000	11.27	n/a	28-Apr	450.00	3.0
MTB INV ADV	034	JOYG	S	1,050	95.39	n/a	3-Jun	52.50	5.0
TUDOR INVESTORS	028	KMT	B	2,000	43.32	n/a	29-Apr	60.00	3.0
ROTHSCHILD ASSET	040	LSI	B	8,740	6.85	n/a	n/a	349.60	4.0
JP MORGAN VENTURES	046	MCD	S	10,000	85.35	n/a	11-Jul	400.00	4.0
PROSPECTOR PARTNERS LLC	036	MPC	S	10,000	40.55	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	M	B	30,000	29.94	n/a	8-Jul	1,050.00	3.5
LATEFF MGMT	035	NUE	B	300	39.90	n/a	n/a	60.00	20.0
SHIKIAR ASSET	029	NUE	B	6,500	39.84	n/a	n/a	325.00	5.0
TUDOR INVESTORS	028	NUE	SS	3,000	39.94	n/a	n/a	90.00	3.0
MILLENNIUM-ICS BOBBY	044	PAG	SS	10,000	23.04	n/a	29-Apr	300.00	3.0
LATEFF MGMT	035	PBCT	B	625	13.67	n/a	19-May	62.50	10.0
TRELLUS PARTNERS LP	028	PCAR	B	20,000	50.64	n/a	20-Apr	1,000.00	5.0
MERRILL ASSET/BLACKROCK	297	PJC	S	13,100	27.35	n/a	n/a	524.00	4.0
LATEFF MGMT	035	PLDPRP	B	400	25.37	n/a	n/a	48.00	12.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	RBN	B	3,000	52.69	n/a	n/a	90.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	S	35,000	61.30	n/a	n/a	1,050.00	3.0
OHIO PERS	047	SAVE	S	70,000	13.79	n/a	n/a	2,100.00	3.0
LATEFF MGMT	035	SPLS	B	200	15.55	n/a	n/a	30.00	15.0
ASCEND PARTNERS	033	SPR	S	24,000	20.72	n/a	24-Jun	960.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TGT	S	5,000	51.40	n/a	7-Jul	0.00	0.0
TUDOR INVESTORS	028	TKR	B	2,000	49.84	n/a	n/a	60.00	3.0
TUDOR INVESTORS	028	TRN	B	3,000	35.04	n/a	n/a	90.00	3.0
MTB INV ADV	034	TWI	S	5,175	24.93	n/a	n/a	258.75	5.0
STATE TEACHERS RET SYS	047	T	S	60,000	30.81	n/a	n/a	1,800.00	3.0
IMPALA ASSET MMT	012	UAL	S	5,000	21.77	n/a	n/a	200.00	4.0
THIRD COAST CAPITAL	035	UA	S	7,500	78.37	n/a	27-Apr	375.00	5.0
LONG OAR GLOBAL INV	040	VAL	B	76,000	35.23	n/a	n/a	3,040.00	4.0
SCOPUS FUND	041	WAG	S	10,000	42.80	n/a	n/a	400.00	4.0
FORTRESS INVESTMENT (US)	036	WFSL	SS	125,000	16.43	n/a	n/a	5,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	WMT	SS	70,987	54.20	n/a	18-May	2,484.55	3.5
TRELLUS PARTNERS LP	028	XPO	B	26,937	3.40	n/a	n/a	808.11	3.0
TOTAL (Trade Date):								64,926.87	

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):									64,926.87
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									64,926.87
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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