



Daily Compliance Activity Report

Trade Date: 07/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	ACN	S	5,850	39.37	n/a	n/a	292.50	5.0
METROPOLITAN CAPITAL	044	AEO	S	34,400	12.12	n/a	29-Jul	1,720.00	5.0
1798 CAP/LOMBARD ASSET	040	AKS	SS	123,000	13.93	n/a	n/a	6,150.00	5.0
LEVIN CAPITAL STRATEGIES	012	AN	S	40,000	24.23	n/a	23-Jul	1,200.00	3.0
NEUBERGER BERMAN	036	ASTE	S	10,300	30.99	n/a	n/a	412.00	4.0
MERRILL ASSET/BLACKROCK	266	BEC	B	2,500	45.11	n/a	n/a	100.00	4.0
PORTER-ORLIN	044	BMRN	S	25,000	21.86	n/a	n/a	1,250.00	5.0
CASTLE ARK	031	BWA	B	157,878	43.83	n/a	23-Jul	7,893.90	5.0
TRELLUS PARTNERS LP	028	BWA	S	20,000	44.22	n/a	23-Jul	1,000.00	5.0
ARCHON CAPITAL	035	CAKE	SS	65,000	23.09	n/a	23-Jul	1,950.00	3.0
HUNTER GLOBAL INVESTOR	067	CAT	B	76,000	69.74	n/a	23-Jul	3,800.00	5.0
IMPALA ASSET MMT	012	CCL	S	8,671	34.32	n/a	n/a	346.84	4.0
MERU CAP PART LLC	036	CRI	B	8,000	23.91	n/a	n/a	320.00	4.0
MTB INV ADV	034	CTCT	S	20,750	19.78	n/a	n/a	1,037.50	5.0
OZ MGMT	040	DAN	S	67,267	11.95	n/a	30-Jul	2,018.01	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	DOW	SS	15,000	27.13	n/a	21-May	450.00	3.0
TRUSTCO/SUNTRUST	040	EMC	B	86,403	19.79	n/a	n/a	3,369.75	3.9
MELLON/BANK OF NEW YORK	046	ENR	B	47,650	61.48	n/a	28-Jul	2,382.50	5.0
RAINIER INV MGMT	035	ENS	B	62,500	24.07	n/a	n/a	2,500.00	4.0
IMPALA ASSET MMT	012	EXPD	S	96,177	42.32	n/a	n/a	4,808.85	5.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	100,000	30.64	n/a	19-Jul	3,000.00	3.0
NOMURA CAPITAL	029	GRA	S	9,621	25.70	n/a	n/a	288.63	3.0
1798 CAP/LOMBARD ASSET	040	GVA	SS	21,500	23.11	n/a	n/a	1,075.00	5.0
HUNTER GLOBAL INVESTOR	067	HON	SS	200	43.05	n/a	31-Mar	10.00	5.0
CENTURION PARTNERS	041	IMAX	S	50,000	15.53	n/a	n/a	2,000.00	4.0
KACELA CAPITAL	034	JNPR	B	65,000	27.53	n/a	n/a	2,600.00	4.0
BASIX	033	JNY	B	55,000	17.39	n/a	29-Jul	1,650.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	33.67	n/a	29-Jul	800.00	4.0
NEUBERGER BERMAN	036	LAYN	S	12,500	25.61	n/a	n/a	500.00	4.0
HUNTER GLOBAL INVESTOR	067	LEA	B	20,000	76.68	n/a	23-Jul	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	76.81	n/a	23-Jul	300.00	3.0
STRONG/MARK GRONET	030	LFL	S	66,300	23.60	n/a	n/a	2,652.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		LPX	B	15,000	7.44		n/a 19-Jul	600.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	25.26	n/a	n/a	1,200.00	4.0
ROYCE TRADING	012	LVS	B	5,400	26.50	n/a	29-Jul	270.00	5.0
HUNTER GLOBAL INVESTOR	067	MLM	B	57,400	84.87	n/a	n/a	2,870.00	5.0
ROSEDALE CAPITAL	046	MRK	S	10,000	34.36	n/a	n/a	500.00	5.0
PORTER-ORLIN	044	MSFT	B	50,000	25.70	n/a	n/a	2,500.00	5.0
CAERUS GLOBAL	041	NDN	S	28,200	16.55	n/a	29-Jul	1,128.00	4.0
IMPALA ASSET MMT	012	NSC	S	29,948	55.97	n/a	n/a	1,497.40	5.0
CATAPULT	040	NYX	B	3,200	28.74	n/a	n/a	160.00	5.0
1798 CAP/LOMBARD ASSET	040	OC	C	12,550	31.97	n/a	n/a	627.50	5.0
IRIDIAN ASSET MGMT.	036	ORCL	S	19,500	23.64	n/a	n/a	975.00	5.0
BAIRD INVESTMENT	047	PCAR	B	9,625	45.76	n/a	28-Jul	481.25	5.0
ARCHON CAPITAL	035	PFCB	SS	15,000	41.39	n/a	28-Jul	450.00	3.0
SAXON WOODS ADVISORS	242	PFE	S	314,968	14.91	n/a	n/a	9,449.04	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
METROPOLITAN CAPITAL	044	PLCE	B	9,900	41.89	n/a	29-Jul	495.00	5.0
KENNEDY CAPITAL	046	PSUN	S	17,136	4.05	n/a	n/a	342.72	2.0
HIGHBRIDGE CAP	041	PXD	SS	5,000	57.84	n/a	29-Jul	200.00	4.0
NEUBERGER BERMAN	036	RBN	S	16,900	23.82	n/a	n/a	676.00	4.0
MELLON/BANK OF NEW YORK	046	RCL	B	86,690	29.06	n/a	n/a	4,334.50	5.0
HIGHBRIDGE CAP	041	REXX	SS	10,800	10.51	n/a	n/a	432.00	4.0
1798 CAP/LOMBARD ASSET	040	RIG	SS	5,000	46.01	n/a	n/a	250.00	5.0
SCOPIA CAPITAL	048	RIMM	SS	92,141	57.48	n/a	n/a	3,685.64	4.0
SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	30.00	0.0
NEUBERGER BERMAN	036	ROVI	B	37,250	44.17	n/a	n/a	1,490.00	4.0
HIGHBRIDGE CAP	041	RRC	SS	7,400	37.30	n/a	19-Jul	296.00	4.0
IMPALA ASSET MMT	012	R	S	4,800	43.13	n/a	n/a	240.00	5.0
HIGHBRIDGE CAP	041	SFY	SS	6,900	26.07	n/a	n/a	276.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SKX	SS	25,000	37.00	n/a	n/a	875.00	3.5
HIGHBRIDGE CAP	041	SM	SS	5,000	41.34	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	SPY	SS	136,000	110.24	n/a	n/a	6,800.00	5.0
CATAPULT	040	STT	S	2,004	38.84	n/a	20-Jul	100.20	5.0
1798 CAP/LOMBARD ASSET	040	SWC	B	30,000	13.97	n/a	n/a	1,500.00	5.0
IMPALA ASSET MMT	012	TAL	S	5,600	26.43	n/a	n/a	224.00	4.0
IMPALA ASSET MMT	012	TGH	S	6,400	26.88	n/a	n/a	256.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	50,000	41.46	n/a	29-Jul	1,750.00	3.5
SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	15.00	0.0
HARBORWATCH/DIAMBACK	232	UTX	B	25,000	70.94	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	VLCM	B	20,000	15.85	n/a	n/a	1,000.00	5.0
LATEFF MGMT	035	WCRX	S	4,000	26.00	n/a	30-Jul	520.00	14.0
IMPALA ASSET MMT	012	WNC	B	80,000	8.35	n/a	n/a	1,600.00	2.0
SAC CRIB	044	XLI	B	25,000	30.18	n/a	n/a	875.00	3.5
TOTAL (Trade Date) :								111,298.73	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/29	SF SENTRY (SFSEJPM)	085	BPI	B	5,000	18.79	n/a	n/a	250.00 5.0
AO,	07/29	WEDBUSH/PACIFIC GROWTH EQTY LLC (WEDBMAINAC)	084	BPI	B	550	18.79	n/a	n/a	27.50 5.0
AO,CRT	07/29	WEDBUSH/PACIFIC GROWTH EQTY LLC (WEDBPACGRW)	084	BPI	B	4,450	18.79	n/a	n/a	222.50 5.0
AO,CXL	07/29	SCOPUS FUND (SCOPGS)	041	DAN	B	1,600	11.63	n/a	30-Jul	0.00 0.0
AO,CRT	07/29	SCOPUS FUND (SCOPGS)	041	DAN	B	1,600	11.63	n/a	30-Jul	80.00 5.0
AO,CXL	07/29	SCOPUS FUND (SCOPUBS)	041	DAN	B	8,400	11.63	n/a	30-Jul	0.00 0.0
AO,CRT	07/29	SCOPUS FUND (SCOPUBS)	041	DAN	B	8,400	11.63	n/a	30-Jul	420.00 5.0
AO,CXL	07/29	COBALT (COBAGS)	041	TYC	S	2,145	36.89	n/a	29-Jul	107.25 5.0
AO,CRT	07/29	COBALT (COBAGS)	041	TYC	S	20,907	36.89	n/a	29-Jul	1045.35 5.0
AO,CXL	07/29	COBALT (COBAUBS)	041	TYC	S	131,662	36.89	n/a	29-Jul	6583.10 5.0
AO,CRT	07/29	COBALT (COBAUBS)	041	TYC	S	112,900	36.89	n/a	29-Jul	5645.00 5.0

TOTAL (AO, CXL, CRT) :	500.00
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TOTAL (Trade Date) :	111,298.73
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS :	111,798.73
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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