



Daily Compliance Activity Report

Trade Date: 08/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PZENA INV ADV	044	AIG	B	13,425	23.35	n/a	n/a	469.88 3.5
ROBERTSON STEVENS BC	084	ALU	B	200,000	3.30	n/a	n/a	4,000.00 2.0
GLENHILL CAPITAL	036	AMTD	S	200,000	14.12	n/a	n/a	10,000.00 5.0
PROSPECTOR PARTNERS LLC	036	AON	B	4,800	44.23	n/a	n/a	192.00 4.0
TUDOR INVESTORS	028	ARG	B	3,000	60.34	n/a	n/a	90.00 3.0
DENVER INST. ADV	046	ATML	B	177,700	10.24	n/a	n/a	7,108.00 4.0
TOCQUEVILLE	035	AVY	B	25,000	26.24	n/a	n/a	1,250.00 5.0
DARUMA ASSET MGMT INC	046	AWI	B	15,400	33.16	n/a	n/a	616.00 4.0
BASIX	033	AXE	B	14,000	51.02	n/a	n/a	420.00 3.0
DC CAPITAL	044	AXE	B	19,105	49.95	n/a	n/a	764.20 4.0
FORWARD MGMT	033	AXE	S	10,000	50.06	n/a	n/a	400.00 4.0
CATAPULT	040	AXL	SS	15,400	9.29	n/a	n/a	616.00 4.0
TRELLUS PARTNERS LP	028	AXL	C	50,000	9.33	n/a	n/a	1,500.00 3.0
Õ Jill Rosenberg		BAC	S	100	7.2300	n/a	n/a	0.00 0.0
Õ Jill Rosenberg		BAC	S	236	7.2325	n/a	n/a	0.00 0.0
PROSPECTOR PARTNERS LLC	036	CHD	B	6,800	39.96	n/a	n/a	272.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	CIR	B	800	27.50	n/a	n/a	28.00	3.5
THIRD COAST CAPITAL	035	CVO	S	30,000	4.22	n/a	n/a	1,500.00	5.0
PZENA INV ADV	044	CW	B	4,400	28.11	n/a	n/a	154.00	3.5
SANDLER O'NEILL ASSET	031	C	B	25,000	29.43	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	DD	B	5,200	45.93	n/a	n/a	208.00	4.0
BNP PARIBAS SEC	040	EAT	S	50,100	23.04	n/a	n/a	2,505.00	5.0
TUDOR INVESTORS	028	EAT	S	25,000	23.29	n/a	n/a	750.00	3.0
HOLLIS CAPITAL	033	FCX	B	2,000	45.00	n/a	n/a	100.00	5.0
NEWLAND CAPITAL MGT	025	GE	B	100,000	15.50	n/a	n/a	4,000.00	4.0
CATAPULT	040	GM	SS	9,300	25.77	n/a	n/a	372.00	4.0
CORVEX CAPITAL	041	GM	SS	40,000	25.47	n/a	n/a	1,200.00	3.0
LATEFF MGMT	035	HON	B	500	44.53	n/a	n/a	85.00	17.0
LATEFF MGMT	035	IP	B	2,000	25.28	n/a	n/a	200.00	10.0
BASIX	033	JNY	B	48,000	9.82	n/a	n/a	1,440.00	3.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	100,000	9.82	n/a	n/a	3,000.00	3.0
DENVER INST. ADV	046	KLAC	B	162,400	36.21	n/a	n/a	6,496.00	4.0
EVERCORE WEALTH MGMT	012	KO	S	10,745	66.35	n/a	n/a	537.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER PATH	028	MRK	B	100,000	31.03	n/a	n/a	3,000.00	3.0
TUDOR INVESTORS	028	MWV	B	5,000	26.05	n/a	n/a	150.00	3.0
THE JAY GOLDMAN	028	M	SS	10,000	25.77	n/a	n/a	400.00	4.0
FORWARD MGMT	033	OMI	S	14,500	28.25	n/a	n/a	580.00	4.0
PROSPECTOR PARTNERS LLC	036	ORCL	B	5,300	27.09	n/a	n/a	212.00	4.0
BNP PARIBAS SEC	040	PCAR	B	30,000	36.54	n/a	n/a	1,500.00	5.0
TALPION LLC	040	PCS	C	5,000	10.08	n/a	n/a	200.00	4.0
LATEFF MGMT	035	PG	B	500	60.17	n/a	n/a	85.00	17.0
PROSPECTOR PARTNERS LLC	036	PG	B	7,500	59.09	n/a	n/a	300.00	4.0
TUDOR INVESTORS	028	POT	B	3,000	53.17	n/a	n/a	90.00	3.0
THIRD COAST CAPITAL	035	RRD	S	20,000	14.12	n/a	n/a	1,000.00	5.0
TRUSTCO/SUNTRUST	040	RRR	B	50,000	8.05	n/a	n/a	1,750.01	3.5
TUDOR INVESTORS	028	RSG	B	10,000	26.44	n/a	n/a	300.00	3.0
COHE & STEERS	041	RYN	S	198,107	58.55	n/a	n/a	7,924.28	4.0
STELLIAM INV ADV	034	SEE	S	50,000	18.14	n/a	n/a	2,500.00	5.0
TALPION LLC	040	SEMG	B	5,000	18.68	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	SKT	B	122,387	25.80	n/a	n/a	3,671.61	3.0
TALPION LLC	040	SPLS	C	5,000	13.14	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	028	SPY	SS	830,000	114.82	n/a	n/a	24,900.00	3.0
PERRY PARTNERS	085	SXC	S	50,000	12.16	n/a	n/a	2,500.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.10	n/a	n/a	800.00	4.0
STANDARD PACIFIC CAPITAL	040	TIN	B	160,000	26.97	n/a	n/a	8,000.00	5.0
LISTED ERR	099	TIN	B	19,900	26.50	n/a	n/a	0.00	0.0
LISTED ERR	099	TIN	S	19,900	26.16	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	TOT	S	10,000	45.74	n/a	n/a	500.00	5.0
TUDOR INVESTORS	028	WM	SS	10,000	30.83	n/a	n/a	300.00	3.0
COOPER CREEK PART	028	WPP	B	10,000	6.11	n/a	n/a	300.00	3.0
DAVIDSON INV ADV	035	WSH	S	24,584	34.72	n/a	n/a	983.36	4.0
RAINIER INV MGMT	035	WWD	B	42,770	28.90	n/a	n/a	1,710.80	4.0
LATEFF MGMT	035	XOM	B	500	71.15	n/a	n/a	85.00	17.0
HOLLIS CAPITAL	033	YUM	B	10,000	50.37	n/a	n/a	500.00	5.0

TOTAL (Trade Date):

116,165.39

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/10	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	CW	B	1,000	28.22	n/a	n/a	40.00 4.0
AO,CRT	08/10	PROSPECTOR PARTNERS LLC (PROSWHITNE)	036	CW	B	1,200	28.22	n/a	n/a	48.00 4.0
AO,CXL	08/10	PROSPECTOR PARTNERS LLC (PROSEIC)	036	CW	B	500	28.22	n/a	n/a	20.00 4.0
AO,CXL	08/10	PROSPECTOR PARTNERS LLC (PROSS93)	036	CW	B	1,000	28.22	n/a	n/a	40.00 4.0
AO,CRT	08/10	PROSPECTOR PARTNERS LLC (PROSS93)	036	CW	B	1,200	28.22	n/a	n/a	48.00 4.0
AO,CXL	08/10	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	CW	B	700	28.22	n/a	n/a	28.00 4.0
AO,CRT	08/10	PROSPECTOR PARTNERS LLC (PROSOBIC)	036	CW	B	800	28.22	n/a	n/a	32.00 4.0
AO,CXL	08/08	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	25,000	6.26	n/a	n/a	1000.00 4.0
AO,CRT	08/08	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	25,000	6.26	n/a	n/a	750.00 3.0
CRT	08/11	BNP PARIBAS SEC (BNPPMAIN)	040	PCAR	B	30,000	36.54	n/a	n/a	1500.00 5.0
CRT	08/11	ROSEDALE CAPITAL (ROSEJPM)	046	TOT	S	10,000	45.74	n/a	n/a	500.00 5.0
TOTAL (AO, CXL, CRT) :									1,750.00	
TOTAL (Trade Date) :									116,165.39	
TOTAL (AO, CXL, CRT) :									1,750.00	
TOTAL (RUN DATE) / NFS:									117,915.39	

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