



Daily Compliance Activity Report

Trade Date: 07/29/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	AAP	B	40,900	53.08	n/a	n/a	1,431.50	3.5
1798 CAP/LOMBARD ASSET	040	AKS	C	45,000	13.93	n/a	n/a	2,250.00	5.0
HARBORWATCH/DIAMBACK	232	AKS	SS	5,000	14.00	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ANF	C	150,000	35.76	n/a	29-Jul	4,500.00	3.0
NEUBERGER BERMAN	036	ASTE	S	9,300	30.74	n/a	n/a	372.00	4.0
1798 CAP/LOMBARD ASSET	040	ATW	SS	18,700	27.20	n/a	n/a	935.00	5.0
EPOCH INV MGMT	030	AWI	S	900	35.28	n/a	n/a	27.00	3.0
SAC CRIB	044	AXL	S	100,000	8.96	n/a	23-Jul	3,500.00	3.5
APEX CAPITAL MGMT.	261	AZO	SS	73,400	207.55	n/a	n/a	2,936.00	4.0
IRIDIAN ASSET MGMT.	036	BAC	S	16,490	14.04	n/a	19-Jul	824.50	5.0
MELLON/BANK OF NEW YORK	046	BAX	B	19,840	43.91	n/a	n/a	992.00	5.0
BALYASNY ASSET MGMT	044	BBBY	C	15,000	37.80	n/a	n/a	750.00	5.0
SF SENTRY	085	BPI	B	5,000	18.79	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	10,000	5.59	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	CAR	B	72,600	11.51	n/a	n/a	2,178.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENNETT LAWRENCE	028	CAVM	S	5,450	28.52	n/a	n/a	218.00	4.0
S.A.C. HEALTHCARE BOBBY	044	CEPH	S	10,832	56.49	n/a	28-Jul	379.12	3.5
HARBORWATCH/DIAMBACK	232	CLF	S	5,000	56.38	n/a	n/a	250.00	5.0
MELLON/BANK OF NEW YORK	046	CLF	B	16,000	56.04	n/a	n/a	800.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	C	300,000	23.87	n/a	n/a	9,000.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,900	81.66	n/a	19-Jul	116.00	4.0
MELLON/BANK OF NEW YORK	046	CRS	B	50,000	35.91	n/a	n/a	2,500.00	5.0
SANDLER O'NEILL ASSET	031	C	B	1,400	4.09	n/a	19-Jul	42.00	3.0
OZ MGMT	040	DAN	S	100,000	11.55	n/a	23-Jul	3,000.00	3.0
SCOPUS FUND	041	DAN	B	10,000	11.63	n/a	23-Jul	0.00	0.0
HARBORWATCH/DIAMBACK	232	DOW	SS	25,000	27.44	n/a	21-May	1,250.00	5.0
IMPALA ASSET MMT	012	DPS	S	15,000	36.74	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	DUF	S	1,500	10.10	n/a	n/a	45.00	3.0
EPOCH INV MGMT	030	DVR	S	4,700	6.29	n/a	n/a	141.00	3.0
IMPALA ASSET MMT	012	EMN	B	50,000	59.41	n/a	n/a	2,500.00	5.0
RAINIER INV MGMT	035	ENS	B	27,450	23.83	n/a	n/a	1,098.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	FDO	SS	45,000	40.96	n/a	29-Jul	2,250.00	5.0
HARVEST MGMT	029	FDO	B	10,000	40.95	n/a	29-Jul	500.00	5.0
1798 CAP/LOMBARD ASSET	040	FOE	B	40,000	10.66	n/a	n/a	2,000.00	5.0
AVESTA CAP	229	F	B	200,000	13.00	n/a	26-Jul	6,000.00	3.0
SCOPUS FUND	041	F	SS	100,000	12.86	n/a	26-Jul	5,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	35.53	n/a	19-Jul	3,000.00	3.0
MILLENIUM PARTNERS	028	GE	B	30,000	16.01	n/a	n/a	1,200.00	4.0
IMPALA ASSET MMT	012	GIS	S	15,000	34.79	n/a	n/a	600.00	4.0
CAMBIAR CAP	046	GLW	S	100,000	18.07	n/a	28-Jul	4,000.00	4.0
EVERCORE WEALTH MGMT	012	GR	B	8,450	73.35	n/a	4-Jun	422.50	5.0
EXIS CAPITAL	044	GYMB	SS	5,000	44.02	n/a	29-Jul	250.00	5.0
METROPOLITAN CAPITAL	044	GYMB	B	7,700	42.87	n/a	29-Jul	385.00	5.0
EPOCH INV MGMT	030	HAE	S	550	54.42	n/a	n/a	16.50	3.0
IMPALA ASSET MMT	012	HANS	S	5,000	41.49	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	HXL	S	1,900	18.46	n/a	n/a	57.00	3.0
IMPALA ASSET MMT	012	H	S	1,062	37.80	n/a	n/a	42.48	4.0
IMPALA ASSET MMT	012	IEF	SS	52,000	95.71	n/a	n/a	2,600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	20,000	32.85	n/a	29-Jul	800.00	4.0
EXIS CAPITAL	044	JWN	B	5,000	32.75	n/a	29-Jul	250.00	5.0
SAC CHICAGO ANDREW	031	KR	S	25,000	21.18	n/a	n/a	875.00	3.5
COLUMBIA PARTNERS	028	K	S	71,869	48.58	n/a	n/a	2,874.76	4.0
TPG-AXON	040	K	C	48,000	49.59	n/a	n/a	2,400.00	5.0
NEUBERGER BERMAN	036	LAYN	S	5,900	25.57	n/a	n/a	236.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	3,200	27.08	n/a	29-Jul	128.00	4.0
ROYCE TRADING	012	LVS	B	1,800	26.49	n/a	29-Jul	90.00	5.0
EPOCH INV MGMT	030	MAKO	S	1,900	10.70	n/a	n/a	57.00	3.0
IMPALA ASSET MMT	012	MEE	B	16,400	30.45	n/a	n/a	656.00	4.0
EPOCH INV MGMT	030	MNRO	S	750	37.97	n/a	n/a	22.50	3.0
NEWLAND CAPITAL MGT	067	MOD	S	50,000	10.44	n/a	n/a	2,000.00	4.0
ADAGE CAPITAL MGMT	030	M	S	210,828	18.96	n/a	29-Jul	6,324.84	3.0
EPOCH INV MGMT	030	NSR	S	1,500	24.04	n/a	n/a	45.00	3.0
HARBORWATCH/DIAMBACK	232	NUE	SS	20,000	39.95	n/a	n/a	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	ORCL	S	9,550	24.18	n/a	n/a	477.50	5.0
APEX CAPITAL MGMT.	261	ORLY	B	150,000	49.06	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PAG	B	10,000	13.76	n/a	23-Jul	600.00	6.0
TRUSTCO/SUNTRUST	040	PFE	S	136,640	15.10	n/a	n/a	5,328.99	3.9
EXIS CAPITAL	044	PLCE	SS	5,000	44.96	n/a	29-Jul	250.00	5.0
METROPOLITAN CAPITAL	044	PLCE	B	7,700	43.45	n/a	29-Jul	385.00	5.0
KENNEDY CAPITAL	046	PSUN	S	22,100	4.09	n/a	n/a	442.00	2.0
FIRST NEW YORK NICK	029	Q	B	20,000	5.62	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	RBN	S	20,400	23.83	n/a	n/a	816.00	4.0
1798 CAP/LOMBARD ASSET	040	RIG	SS	19,650	46.77	n/a	n/a	982.50	5.0
ROTHSCHILD ASSET	040	RS	S	13,444	39.56	n/a	n/a	537.76	4.0
VISIUM/BALY BOBBY	044	SBUX	B	10,000	24.71	n/a	22-Jul	500.00	5.0
MELLON/BANK OF NEW YORK	046	SKX	B	78,200	36.10	n/a	n/a	3,910.00	5.0
BERMAN CAPITAL MGMT	046	SPY	S	30,000	111.65	n/a	n/a	900.00	3.0
SAC CHICAGO ANDREW	031	SSI	B	8,200	10.87	n/a	n/a	287.00	3.5
EPOCH INV MGMT	030	SVR	S	2,700	22.26	n/a	n/a	81.00	3.0
1798 CAP/LOMBARD ASSET	040	SWC	B	27,000	13.95	n/a	n/a	1,350.00	5.0
SAC CHICAGO ANDREW	031	SWY	SS	50,000	20.13	n/a	n/a	1,750.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	SYMC	S	150,000	13.52	n/a	n/a	7,500.00	5.0
Ñ Nilsa Vazquez		SYMC	S	500	13.2000	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	TEN	SS	25,000	25.32	n/a	n/a	1,000.00	4.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	40,000	47.78	n/a	29-Jul	1,400.00	3.5
CASTLE ARK	031	TJX	S	182,876	40.83	n/a	29-Jul	9,143.80	5.0
TRUSTCO/SUNTRUST	040	TMO	S	32,220	44.99	n/a	n/a	1,256.58	3.9
FEDERATED INV/KAUFMAN	029	TNDM	S	50,000	10.65	n/a	n/a	2,750.01	5.5
HUNTER GLOBAL INVESTOR	067	TROW	S	34,024	48.78	n/a	n/a	1,360.96	4.0
CASTLEROCK	040	TUP	SS	42,878	39.25	n/a	n/a	1,715.12	4.0
COBALT	041	TYC	S	133,807	36.89	n/a	29-Jul	6,690.35	5.0
MATRIX ASSET ADV.	036	TYC	S	5,500	36.98	n/a	29-Jul	220.00	4.0
TRUSTCO/SUNTRUST	040	T	S	102,850	26.05	n/a	n/a	4,011.15	3.9
T. ROWE PRICE	033	UFS	B	27,000	53.83	n/a	n/a	1,080.00	4.0
IMPALA ASSET MMT	012	UNP	B	8,400	74.47	n/a	n/a	420.00	5.0
IMPALA ASSET MMT	012	UNP	S	25,000	74.41	n/a	n/a	1,250.00	5.0
MERRILL ASSET/BLACKROCK	266	UN	B	107,600	29.38	n/a	n/a	4,304.00	4.0
GREEN ARROW DOUG	040	WEN	S	25,000	4.36	n/a	8-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEREGRINE	030	WRC	B	20,000	41.92	n/a	19-Jul	800.00	4.0
SENATOR INVESTMENT GROUP	036	XOP	SS	12,500	40.36	n/a	n/a	375.00	3.0
JP MORGAN VENTURES	046	YUM	B	25,000	41.95	n/a	14-Jul	1,250.00	5.0
TOTAL (Trade Date) :							163,242.42		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/28	JENNISON (JENN957)	032	CSCO	B	3,651	23.47	n/a	n/a	135.09 3.7
AO,	07/28	JENNISON (JENN959)	032	CSCO	B	10,862	23.47	n/a	n/a	401.89 3.7
AO,	07/28	JENNISON (JENN965)	032	CSCO	B	42,304	23.47	n/a	n/a	1565.25 3.7
AO,	07/28	JENNISON (JENN826)	032	CSCO	B	79,943	23.47	n/a	n/a	2957.89 3.7
AO,	07/28	JENNISON (JENN789)	032	CSCO	B	1,755	23.47	n/a	n/a	64.94 3.7
AO,	07/28	JENNISON (JENN770)	032	CSCO	B	5,038	23.47	n/a	n/a	186.41 3.7
AO,	07/28	JENNISON (JENN387)	032	CSCO	B	466,031	23.47	n/a	n/a	17243.15 3.7
AO,	07/28	JENNISON (JENN46)	032	CSCO	B	5,946	23.47	n/a	n/a	220.00 3.7
AO,	07/28	JENNISON (JENN268)	032	CSCO	B	1,466	23.47	n/a	n/a	54.24 3.7
AO,	07/28	JENNISON (JENN553)	032	CSCO	B	766	23.47	n/a	n/a	28.34 3.7
AO,	07/28	JENNISON (JENN694)	032	CSCO	B	57,951	23.47	n/a	n/a	2144.19 3.7
AO,	07/28	JENNISON (JENN697)	032	CSCO	B	30,865	23.47	n/a	n/a	1142.01 3.7
AO,	07/28	JENNISON (JENN641)	032	CSCO	B	4,984	23.47	n/a	n/a	184.41 3.7
AO,	07/28	JENNISON (JENN704)	032	CSCO	B	32,312	23.47	n/a	n/a	1195.54 3.7
AO,	07/28	JENNISON (JENN629)	032	CSCO	B	4,626	23.47	n/a	n/a	171.16 3.7
AO,	07/28	JENNISON (JENN567)	032	CSCO	B	4,842	23.47	n/a	n/a	179.15 3.7
AO,	07/28	JENNISON (JENN440)	032	CSCO	B	10,250	23.47	n/a	n/a	379.25 3.7
AO,	07/28	JENNISON (JENN443)	032	CSCO	B	16,397	23.47	n/a	n/a	606.69 3.7
AO,	07/28	JENNISON (JENN404)	032	CSCO	B	742	23.47	n/a	n/a	27.45 3.7
AO,	07/28	JENNISON (JENN354)	032	CSCO	B	4,949	23.47	n/a	n/a	183.11 3.7
AO,	07/28	JENNISON (JENN529)	032	CSCO	B	57,207	23.47	n/a	n/a	2116.66 3.7
AO,	07/28	JENNISON (JENN499)	032	CSCO	B	34,399	23.47	n/a	n/a	1272.76 3.7
AO,	07/28	JENNISON (JENN148)	032	CSCO	B	12,781	23.47	n/a	n/a	472.90 3.7
AO,	07/28	JENNISON (JENN267)	032	CSCO	B	5,119	23.47	n/a	n/a	189.40 3.7
AO,	07/28	JENNISON (JENN18)	032	CSCO	B	14,465	23.47	n/a	n/a	535.21 3.7
AO,	07/28	JENNISON (JENN166)	032	CSCO	B	10,349	23.47	n/a	n/a	382.91 3.7
CRT	07/29	SAC CHICAGO ANDREW (SCASJMPMB)	031	SSI	B	8,200	10.87	n/a	n/a	287.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	07/28	COOPER CREEK PART (COOPJPM)	028	TIN	B	1,275	20.99	n/a 27-Jul	51.00 4.0
AO,	07/28	COOPER CREEK PART (COOPGS)	028	TIN	B	18,725	20.99	n/a 27-Jul	749.00 4.0
TOTAL (AO, CXL, CRT) :									35,127.00

TOTAL (Trade Date) :	163,242.42
TOTAL (AO, CXL, CRT) :	35,127.00

TOTAL (RUN DATE) / NFS :	198,369.42
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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