



Daily Compliance Activity Report

Trade Date: 07/14/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	AEO	B	15,000	12.02	n/a	9-Jul	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	25,000	29.16	n/a	9-Jul	875.00	3.5
M&I FUNDS	047	BA	S	18,810	65.30	n/a	9-Jul	752.40	4.0
EXIS CAPITAL	044	BBY	B	5,000	35.05	n/a	n/a	250.00	5.0
CATAPULT	040	BRKB	SS	5,800	79.36	n/a	n/a	290.00	5.0
ROSEDALE CAPITAL	046	CSCO	S	10,000	23.80	n/a	n/a	500.00	5.0
MARINER/TRICADIA	041	CXW	S	20,000	19.26	n/a	n/a	1,000.00	5.0
MARINER/TRICADIA	041	CYBX	S	10,106	22.75	n/a	n/a	505.30	5.0
WAGONHOUND/NIC	048	DAN	B	7,595	11.05	n/a	7-Jul	303.80	4.0
M&I FUNDS	047	DD	B	21,470	37.06	n/a	9-Jun	858.80	4.0
EGS ASSOCIATES LP	091	DPZ	B	2,500	12.82	n/a	8-Jul	150.00	6.0
BUCK CAPITAL MGMT	001	EL	B	41,000	64.59	n/a	7-Jun	1,640.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	B	3,000	23.40	n/a	12-Jul	90.00	3.0
MILLENIUM PARTNERS	028	F	B	40,000	11.76	n/a	13-Jul	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	F	B	50,000	11.85	n/a	13-Jul	1,750.00	3.5
BUCK CAPITAL MGMT	001	GPS	S	50,000	18.77	n/a	n/a	2,000.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	208,000	22.92	n/a	9-Jul	6,240.00	3.0
EXIS CAPITAL	044	JNY	B	5,000	15.99	n/a	14-May	250.00	5.0
ROYCE TRADING	012	JNY	B	10,000	15.93	n/a	14-May	500.00	5.0
COPIA CAPITAL	031	KEG	C	58,500	9.61	n/a	6-Jul	2,047.51	3.5
CATAPULT	040	KMB	S	37,100	62.18	n/a	26-Apr	1,855.00	5.0
CAERUS GLOBAL	041	KSS	S	15,000	46.96	n/a	9-Jul	600.00	4.0
GRUBER MACBAINE	033	LOW	B	25,000	20.79	n/a	17-May	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	LTD	B	25,000	24.40	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	LTD	S	50,000	24.67	n/a	n/a	2,500.00	5.0
TRELLUS PARTNERS LP	028	LVS	SS	20,000	24.39	n/a	7-Jul	1,000.00	5.0
ROYCE TRADING	012	MEI	S	5,000	10.35	n/a	n/a	250.00	5.0
ROYCE TRADING	012	MIG	S	5,000	9.02	n/a	n/a	250.00	5.0
ROYCE TRADING	012	MI	B	500	8.09	n/a	n/a	25.00	5.0
CHILTON CAPITAL MGMT.	036	MRVL	B	15,000	17.47	n/a	n/a	450.00	3.0
ROYCE TRADING	012	MTX	B	5,000	50.01	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	M	B	15,000	18.42	n/a	9-Jul	600.00	4.0
ROYCE TRADING	012	NWK	S	5,000	3.83	n/a	n/a	150.00	3.0
ROYCE TRADING	012	OMG	B	5,000	24.71	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	PKG	B	8,000	22.85	n/a	28-Jun	320.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	40,000	23.09	n/a	28-Jun	2,000.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	20,000	22.84	n/a	28-Jun	600.00	3.0
TRELLUS PARTNERS LP	028	PKG	B	17,400	22.82	n/a	28-Jun	870.00	5.0
VISIUM/BALY BOBBY	044	PLCE	C	7,500	45.70	n/a	3-Jun	375.00	5.0
THE JAY GOLDMAN	028	PNK	SS	10,000	10.01	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	48.69	n/a	26-May	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RS	B	15,000	36.89	n/a	n/a	750.00	5.0
SMITH MGMT LLC	029	SDRL	B	26,300	21.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	34.86	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	SSCC	S	7,000	20.40	n/a	8-Jul	280.00	4.0
ARCHON CAPITAL	035	SVVS	S	80,000	15.77	n/a	n/a	2,400.00	3.0
SF SENTRY	085	SWN	B	7,500	38.76	n/a	12-Jul	375.00	5.0
GREEN ARROW DOUG	040	SWY	B	25,000	20.15	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	TEN	B	13,843	22.81	n/a	n/a	692.15	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	31.91	n/a	n/a	1,500.00	3.0
ROYCE TRADING	012	TXI	B	500	29.10	n/a	n/a	25.00	5.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	11,600	25.14	n/a	n/a	580.00	5.0
RBC CAPITAL MARKETS	040	VALE	SS	50,000	25.12	n/a	n/a	2,000.00	4.0
BAIRD INVESTMENT	047	WBC	B	18,175	36.31	n/a	25-Jun	908.75	5.0
EMERSON CAPITAL MGMT	048	WEN	S	20,000	4.21	n/a	8-Jul	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	WMT	B	75,000	50.32	n/a	19-May	3,750.00	5.0
AAD CAPITAL	048	WRC	S	10,200	39.33	n/a	14-May	408.00	4.0
EXIS CAPITAL	044	WRC	B	5,000	38.73	n/a	14-May	250.00	5.0
GALT INVESTMENT	041	WISLA	S	30,000	3.60	n/a	n/a	750.00	2.5
THE JAY GOLDMAN	028	WYN	B	10,000	21.70	n/a	n/a	400.00	4.0
DAVIDSON KEMPNER ADVISOR	040	X	SS	20,000	41.82	n/a	n/a	1,000.00	5.0
LISTED ERR	099	X	B	6,600	42.07	n/a	n/a	0.00	0.0
LISTED ERR	099	X	S	6,600	42.07	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								57,916.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/13	UBS OCONNOR (UBSOJPMBS)	031	JEF	SS	1,955	23.74	n/a	n/a	58.65 3.0
AO,CXL	07/13	UBS OCONNOR (UBSOGOLDPB)	031	JEF	SS	5,000	23.74	n/a	n/a	150.00 3.0
AO,	07/13	UBS OCONNOR (UBSOGOLDPB)	031	JEF	SS	3,045	23.74	n/a	n/a	91.35 3.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	57,916.71
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	57,916.71
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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