



## Daily Compliance Activity Report

Trade Date: 08/01/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ABH	B	5,000	17.87	n/a	n/a	150.00	3.0
KLEINHEINZ CAP PART	031	ACE	S	25,000	66.71	n/a	n/a	1,250.00	5.0
TRUST CO OF THE WEST/NY	040	ACI	B	12,500	25.44	n/a	n/a	625.00	5.0
TRUST CO/COWEN/CALF.	040	ACI	B	11,025	25.44	n/a	n/a	551.25	5.0
PENNANT CAP MGMT	029	ADBE	S	300,000	27.66	n/a	n/a	9,000.00	3.0
SURVEYOR CAPITAL	041	ADM	B	96,467	30.39	n/a	15-Jul	2,894.01	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>73.89</b>	<b>n/a</b>	<b>28-Jul</b>	<b>600.00</b>	<b>3.0</b>
JP MORGAN VENTURES	046	ANN	B	10,000	25.76	n/a	n/a	400.00	4.0
SURVEYOR CAPITAL	041	CAR	B	10,000	15.09	n/a	n/a	300.00	3.0
CATAPULT	040	CE	B	10,000	55.90	n/a	20-May	400.00	4.0
TRUST CO/COWEN/CALF.	040	CI	B	200	47.67	n/a	n/a	10.00	5.0
CAERUS GLOBAL	041	CL	B	40,000	83.21	n/a	1-Aug	1,600.00	4.0
TRUST CO OF THE WEST/NY	040	CNX	S	7,600	52.19	n/a	n/a	380.00	5.0
TRUST CO/COWEN/CALF.	040	CNX	S	6,215	52.19	n/a	n/a	310.75	5.0
TUDOR INVESTORS	028	COL	S	12,000	54.51	n/a	22-Jul	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MASTERS CAPITAL MANAGE	025	CSCO	B	150,000	15.72	n/a	n/a	6,000.00	4.0
TRUSTCO/SUNTRUST	040	CSCO	B	61,500	15.80	n/a	n/a	2,152.50	3.5
TUDOR INVESTORS	028	CSX	SS	10,000	24.51	n/a	n/a	300.00	3.0
HUNTER GLOBAL INVESTOR	028	CTAS	SS	156,000	31.86	n/a	n/a	6,240.00	4.0
TRUST CO OF THE WEST/NY	040	CVH	B	10,600	31.88	n/a	n/a	530.00	5.0
TRUST CO/COWEN/CALF.	040	CVH	B	10,480	31.88	n/a	n/a	524.00	5.0
APEX CAPITAL MGMT.	261	ESV	B	25,000	53.29	n/a	n/a	1,000.00	4.0
TUDOR INVESTORS	028	ETN	S	5,000	47.18	n/a	25-Jul	150.00	3.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	68,200	21.65	n/a	2-Jun	2,046.00	3.0
BNP PARIBAS SEC	040	F	S	100,000	12.45	n/a	1-Aug	5,000.00	5.0
LATEFF MGMT	035	F	B	750	12.33	n/a	1-Aug	90.00	12.0
LEVIN CAPITAL STRATEGIES	012	F	B	25,000	12.81	n/a	1-Aug	750.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>37.86</b>	<b>n/a</b>	<b>18-Jul</b>	<b>600.00</b>	<b>3.0</b>
CAERUS GLOBAL	041	GET	S	23,259	29.57	n/a	n/a	930.36	4.0
AVESTA CAP	229	GE	C	250,000	17.94	n/a	n/a	7,500.00	3.0
BASIX	033	GIL	B	16,000	29.32	n/a	29-Jul	480.00	3.0
CATAPULT	040	GM	C	75,000	27.97	n/a	1-Aug	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	C	56,602	27.78	n/a	1-Aug	1,698.06	3.0
TUDOR INVESTORS	028	GR	B	4,000	93.15	n/a	22-Jul	120.00	3.0
BNP PARIBAS SEC	040	HBI	B	25,000	30.09	n/a	21-Jul	1,250.00	5.0
TRUST CO OF THE WEST/NY	040	HCN	S	5,916	50.01	n/a	n/a	295.80	5.0
TRUST CO/COWEN/CALF.	040	HCN	S	5,224	50.01	n/a	n/a	261.20	5.0
SAC CHICAGO ANDREW	031	HD	B	32,000	34.22	n/a	18-May	1,120.00	3.5
BRONSON POINT	036	HOTT	C	25,000	7.28	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	HTZ	SS	10,000	13.93	n/a	n/a	300.00	3.0
OZ MGMT	040	IP	B	25,000	29.52	n/a	28-Jul	750.00	3.0
PRIMECAP MGMT	084	JNJ	B	14,700	63.82	n/a	n/a	588.00	4.0
SURVEYOR CAPITAL	041	JOYG	B	5,000	93.09	n/a	3-Jun	150.00	3.0
TRUST CO/COWEN/CALF.	040	KND	B	1,650	13.20	n/a	n/a	66.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	54.49	n/a	28-Jul	875.00	3.5
BNP PARIBAS SEC	040	LEA	S	5,000	48.34	n/a	14-Jul	250.00	5.0
PRIMECAP MGMT	084	LIFE	B	28,000	44.49	n/a	n/a	1,120.00	4.0
JET CAPITAL/CHRIS	041	LINTA	B	35,000	16.21	n/a	n/a	1,050.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	LMT	B	1,000	74.14	n/a	27-Jul	30.00	3.0
SENATOR INVESTMENT GROUP	036	LOW	S	300,000	21.16	n/a	13-Jun	9,000.00	3.0
DC CAPITAL	044	LPX	B	25,000	7.41	n/a	19-Jul	1,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	15,000	7.44	n/a	19-Jul	600.00	4.0
CASTLEROCK	040	MDT	B	90,267	35.21	n/a	n/a	3,610.68	4.0
KENNEDY CAPITAL	046	MED	B	11,423	19.50	n/a	n/a	456.92	4.0
BASSWOOD PARTNERS	267	MS	B	66,400	22.66	n/a	29-Jul	2,656.00	4.0
SCOPUS FUND	041	MWV	S	1,600	30.65	n/a	27-Jul	64.00	4.0
ENTRUST CAPITAL	040	NLC	S	21,600	34.45	n/a	n/a	1,080.00	5.0
SURVEYOR CAPITAL	041	NSC	SS	6,995	75.22	n/a	n/a	209.85	3.0
TUDOR INVESTORS	028	OC	S	5,000	35.79	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	PEET	S	17,100	58.71	n/a	n/a	684.00	4.0
SUFFOLK CAPITAL MGMT	040	PFE	B	75,000	18.96	n/a	n/a	3,000.00	4.0
TUDOR INVESTORS	028	PH	B	10,000	78.35	n/a	28-Apr	300.00	3.0
SONTERRA CAP	041	PSS	SS	150,000	11.60	n/a	n/a	6,000.00	4.0
PRIMECAP MGMT	084	REXX	B	5,000	10.90	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	RGC	S	20,000	12.78	n/a	n/a	800.00	4.0
CATAPULT	040	RYN	S	10,000	63.75	n/a	1-Aug	400.00	4.0
COHE & STEERS	041	RYN	B	51,636	64.33	n/a	1-Aug	2,065.44	4.0
APEX CAPITAL MGMT.	261	SD	B	25,000	11.80	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	SPLS	SS	25,000	15.68	n/a	n/a	1,000.00	4.0
BASIX	033	STE	SS	16,000	33.72	n/a	n/a	480.00	3.0
PARKWEST	084	STE	B	25,000	33.74	n/a	n/a	1,000.00	4.0
TRUST CO/COWEN/CALF.	040	STX	B	30,000	13.87	n/a	n/a	1,200.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SYK	B	119,800	53.97	n/a	n/a	4,792.00	4.0
HOLLIS CAPITAL	033	TEVA	S	7,000	44.18	n/a	1-Aug	350.00	5.0
THE JAY GOLDMAN	028	TGT	S	30,000	51.12	n/a	7-Jul	1,200.00	4.0
IMPALA ASSET MMT	012	UFS	S	103,000	78.55	n/a	n/a	5,150.00	5.0
TUDOR INVESTORS	028	UNP	B	5,000	101.32	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	URI	B	5,000	21.82	n/a	n/a	150.00	3.0
CATAPULT	040	USG	SS	5,000	10.90	n/a	22-Jul	200.00	4.0
IMPALA ASSET MMT	012	VLO	S	225,000	24.64	n/a	n/a	9,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	VOLC	S	39,500	30.88	n/a	n/a	1,580.00	4.0
SURVEYOR CAPITAL	041	WAB	SS	5,000	64.91	n/a	n/a	150.00	3.0
PRIMECAP MGMT	084	WAT	S	7,000	86.70	n/a	n/a	280.00	4.0
IRIDIAN ASSET MGMT.	036	WMT	C	165,169	52.32	n/a	18-May	4,955.07	3.0
COOPER CREEK PART	028	WPP	B	20,000	7.33	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	20,000	52.94	n/a	18-Jul	600.00	3.0
MACQUARIE INVESTMENT MGMT.	040	WTSLA	S	7,000	4.90	n/a	n/a	0.00	0.0
HOPLITE MGMT	025	WY	C	100,000	19.49	n/a	29-Jul	4,000.00	4.0
SAC CRIB	044	XLB	SS	25,000	37.99	n/a	n/a	875.00	3.5
<b>TOTAL (Trade Date) :</b>								<b>137,786.89</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/29	SAGE ASSET MGMT (SAGEJEFF)	012	BZ	S	167,500	7.01	n/a	n/a	8375.00 5.0
AO,CRT	07/29	SAGE ASSET MGMT (SAGEJEFF)	012	BZ	S	167,500	7.01	n/a	n/a	6700.00 4.0
CRT	08/01	THE JAY GOLDMAN (GOLDGSBULK)	028	TGT	S	30,000	51.12	n/a	7-Jul	1200.00 4.0

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**TOTAL (AO, CXL, CRT) :****-475.00**

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**TOTAL (Trade Date) :****137,786.89****TOTAL (AO, CXL, CRT) :****-475.00**

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**TOTAL (RUN DATE) / NFS:****137,311.89**

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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