



Daily Compliance Activity Report

Trade Date: 07/27/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHILTON CAPITAL MGMT.	036	ACN	SS	25,000	40.34	n/a	n/a	750.00	3.0
S.A.C. CAP/ORENSTEIN	044	AGCO	SS	25,000	34.03	n/a	30-Apr	875.00	3.5
NEW JERSEY DIV OF INV.	030	APA	S	20,000	95.66	n/a	21-Jul	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	APOL	B	10,000	47.81	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	15,000	29.67	n/a	9-Jul	525.00	3.5
NEUBERGER BERMAN	036	ASTE	S	12,400	31.26	n/a	n/a	496.00	4.0
MELLON/BANK OF NEW YORK	046	BAX	B	154,029	44.80	n/a	n/a	7,701.45	5.0
VISIUM/BALY BOBBY	044	BAX	S	47,567	44.75	n/a	n/a	2,378.35	5.0
MERRILL ASSET/BLACKROCK	266	BEC	B	7,800	47.47	n/a	n/a	312.00	4.0
LEVIN CAPITAL STRATEGIES	012	BK	S	25,000	26.49	n/a	21-Jul	750.00	3.0
1798 CAP/LOMBARD ASSET	040	BRS	SS	5,300	33.65	n/a	n/a	265.00	5.0
TRELLUS PARTNERS LP	028	BWA	B	29,600	42.90	n/a	23-Jul	1,480.00	5.0
NEW JERSEY DIV OF INV.	030	CCC	B	20,000	13.96	n/a	n/a	800.00	4.0
1798 CAP/LOMBARD ASSET	040	CLF	S	10,000	54.30	n/a	n/a	500.00	5.0
CASTLEROCK	040	COH	SS	30,851	37.12	n/a	19-Jul	1,234.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	CPB	B	10,000	36.52	n/a	n/a	500.00	5.0
MTB INV ADV	034	CTB	S	27,500	21.98	n/a	n/a	1,375.00	5.0
TRAFELET & COMP.	028	C	B	400,000	4.22	n/a	19-Jul	12,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	DAL	S	10,000	12.16	n/a	n/a	300.00	3.0
MTB INV ADV	034	DAN	B	28,025	11.69	n/a	23-Jul	1,401.25	5.0
OZ MGMT	040	DAN	B	110,000	12.23	n/a	23-Jul	3,300.00	3.0
THIRD COAST CAPITAL	035	DAN	B	12,500	12.16	n/a	23-Jul	625.00	5.0
TRELLUS PARTNERS LP	028	DAN	B	30,000	11.74	n/a	23-Jul	1,500.00	5.0
PROSPECTOR PARTNERS LLC	036	DD	S	2,500	40.31	n/a	27-Jul	100.00	4.0
SAXON WOODS ADVISORS	242	DD	B	20,000	40.83	n/a	27-Jul	800.00	4.0
GRUSS CAPITAL	025	DEI	S	10,000	15.66	n/a	n/a	300.00	3.0
CHILTON CAPITAL MGMT.	036	DG	SS	52,000	29.27	n/a	8-Jun	1,560.00	3.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	SS	10,000	44.02	n/a	6-Jul	350.00	3.5
RBC CAPITAL MARKETS	040	DOW	SS	20,000	28.15	n/a	21-May	800.00	4.0
1798 CAP/LOMBARD ASSET	040	DO	C	20,000	62.22	n/a	n/a	1,000.00	5.0
MADISON ST PARTNERS LLC	046	DPZ	B	100,000	13.71	n/a	27-Jul	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	50,000	13.90	n/a	27-Jul	1,750.00	3.5
SAC CAPITAL/M GRONET	030	FDO	B	22,000	39.75	n/a	7-Jul	770.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	FRX	S	31,900	28.83	n/a	26-Jul	957.00	3.0
LATEFF MGMT	035	F	S	2,500	12.95	n/a	26-Jul	275.00	11.0
NEW JERSEY DIV OF INV.	030	GEFB	S	10,000	57.02	n/a	n/a	400.00	4.0
Õ Nilsa Vazquez		GLD	B	50113.5600		n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HRB	S	10,000	15.58	n/a	n/a	400.00	4.0
OZ MGMT	040	IP	B	75,000	25.29	n/a	19-Jul	2,250.00	3.0
SCOPUS FUND	041	IP	B	50,000	25.26	n/a	19-Jul	2,500.00	5.0
LAGRANGE CAP ADV	048	ISIL	B	10,000	12.15	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	ITW	S	15,000	43.51	n/a	21-Jul	750.00	5.0
EXIS CAPITAL	044	JCG	B	10,000	35.76	n/a	n/a	500.00	5.0
VISIUM/BALY BOBBY	044	JNY	B	25,000	16.47	n/a	19-Jul	1,250.00	5.0
SANDLER CAPITAL	226	KO	B	55,000	55.17	n/a	22-Jul	3,300.00	6.0
EXIS CAPITAL	044	KSS	SS	15,000	48.61	n/a	9-Jul	750.00	5.0
NEUBERGER BERMAN	036	LAYN	S	14,500	26.72	n/a	n/a	580.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	76.02	n/a	23-Jul	300.00	3.0
NEW JERSEY DIV OF INV.	030	LGF	S	48,036	6.72	n/a	n/a	1,921.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	LPX	S	25,000	8.26	n/a	19-Jul	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	LRY	B	25,000	31.94	n/a	n/a	1,000.00	4.0
NEW JERSEY DIV OF INV.	030	LSE	S	25,000	5.09	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	LTD	B	25,000	25.50	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	LTD	S	20,000	25.92	n/a	n/a	1,000.00	5.0
ACK ASSET	028	LVS	SS	15,000	25.37	n/a	26-Jul	450.00	3.0
NEW JERSEY DIV OF INV.	030	MCK	B	20,000	64.96	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	MF	S	75,000	6.38	n/a	n/a	2,250.00	3.0
RBC CAPITAL MARKETS	040	MLM	SS	5,000	86.72	n/a	n/a	200.00	4.0
SLS CAPITAL LLC	224	MUR	B	18,800	55.68	n/a	n/a	752.00	4.0
EXIS CAPITAL	044	M	B	10,000	19.88	n/a	9-Jul	500.00	5.0
GALT INVESTMENT	041	M	S	25,000	19.76	n/a	9-Jul	1,000.00	4.0
CAMBIAR CAP	046	NCR	S	27,355	14.15	n/a	n/a	1,094.20	4.0
SONTERRA CAP	041	NE	B	65,000	32.76	n/a	n/a	2,600.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	18.95	n/a	19-Jul	400.00	4.0
BIXBY LLC	070	OAS	B	2,500	16.59	n/a	n/a	75.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	ODP	B	50,000	4.76	n/a	n/a	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	PDE	S	25,000	25.77	n/a	n/a	750.00	3.0
MELLON/BANK OF NEW YORK	046	PEP	B	28,930	65.43	n/a	n/a	1,446.50	5.0
MERRILL ASSET/BLACKROCK	266	PMC	B	25,000	13.60	n/a	n/a	1,000.00	4.0
CHILTON CAPITAL MGMT.	036	PRGO	SS	15,000	57.95	n/a	26-Jul	450.00	3.0
LATEFF MGMT	035	PTV	S	2,000	31.25	n/a	n/a	320.00	16.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	13,200	50.88	n/a	19-Jul	396.00	3.0
LEVIN CAPITAL STRATEGIES	012	PXP	S	10,000	23.12	n/a	n/a	300.00	3.0
NOMURA CAPITAL	029	QUAD	S	5,000	42.76	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	RBN	S	17,100	23.81	n/a	n/a	684.00	4.0
COOPER CREEK PART	028	RKT	SS	5,000	54.55	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	RL	B	5,000	81.69	n/a	19-Jul	250.00	5.0
Õ Ravi Sadarangani		RMBS	S	100	20.6000	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	SBUX	B	15,000	25.04	n/a	22-Jul	750.00	5.0
SUN AMERICA ASSET MGMT	030	SKS	B	162,100	8.55	n/a	n/a	6,484.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	SKX	S	4,100	35.45	n/a	n/a	205.00	5.0
NEW JERSEY DIV OF INV.	030	SLG	S	27,000	57.75	n/a	n/a	1,080.00	4.0
MTB INV ADV	034	SPR	S	48,750	20.63	n/a	21-Jul	2,437.50	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	10,000	22.05	n/a	19-Jul	500.00	5.0
MILLENIUM PARTNERS	028	SSCC	B	30,000	22.01	n/a	19-Jul	1,200.00	4.0
BACKBAY	041	TIN	B	100,000	22.21	n/a	27-Jul	5,000.00	5.0
COOPER CREEK PART	028	TIN	B	20,000	21.67	n/a	27-Jul	800.00	4.0
SCOPUS FUND	041	TIN	B	65,000	22.30	n/a	27-Jul	3,250.00	5.0
TRELLUS PARTNERS LP	028	TIN	B	20,000	22.21	n/a	27-Jul	1,000.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TIN	SS	15,000	21.87		n/a 27-Jul	750.00	5.0
EXIS CAPITAL	044	TLB	B	30,000	11.71	n/a	n/a	1,500.00	5.0
THIRD COAST CAPITAL	035	TTEC	B	10,000	15.03	n/a	n/a	500.00	5.0
M&I FUNDS	047	TYC	S	5,837	37.05	n/a	3-Jun	233.48	4.0
EXIS CAPITAL	044	UA	B	15,000	39.00	n/a	19-Jul	750.00	5.0
SUN AMERICA ASSET MGMT	030	URI	B	150,800	13.36	n/a	n/a	6,032.00	4.0
BUCK CAPITAL MGMT	001	VFC	SS	10,000	81.35	n/a	23-Jul	400.00	4.0
NEUBERGER BERMAN	036	VMI	S	7,300	74.04	n/a	n/a	292.00	4.0
1798 CAP/LOMBARD ASSET	040	WAB	SS	11,100	44.28	n/a	n/a	555.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	WMT	S	42,190	51.18	n/a	19-May	2,109.50	5.0
MELLON/BANK OF NEW YORK	046	WRC	B	35,000	43.83	n/a	19-Jul	1,750.00	5.0
BIXBY LLC	070	XCO	S	2,000	15.01	n/a	n/a	80.00	4.0
RBC CAPITAL MARKETS	040	X	S	30,000	45.52	n/a	n/a	1,200.00	4.0
DAVIDSON KEMPNER ADVISOR	040	YHOO	B	15,000	13.98	n/a	n/a	750.00	5.0
TOTAL (Trade Date):								131,607.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/27	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	29,600	42.90	n/a	23-Jul	1480.00 5.0
CRT	07/27	TRELLUS PARTNERS LP (TRELMAIN)	028	DAN	B	30,000	11.74	n/a	23-Jul	1500.00 5.0
AO,CXL	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	HD	SS	7,000	28.58	n/a	20-Jul	350.00 5.0
AO,CRT	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	HD	SS	7,000	28.58	n/a	20-Jul	280.00 4.0
AO,CXL	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	LOW	SS	9,400	21.34	n/a	17-May	470.00 5.0
AO,CRT	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	LOW	SS	9,400	21.34	n/a	17-May	376.00 4.0
AO,CXL	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	SHW	SS	2,900	69.04	n/a	22-Jul	145.00 5.0
AO,CRT	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	SHW	SS	2,900	69.04	n/a	22-Jul	174.00 6.0
AO,CXL	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	TSCO	SS	2,900	69.55	n/a	n/a	145.00 5.0
AO,CRT	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	TSCO	SS	2,900	69.55	n/a	n/a	174.00 6.0
AO,CXL	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	WSM	SS	7,300	27.18	n/a	n/a	365.00 5.0
AO,CRT	07/26	BANK OF AMERICA/MERRILL (BAMLML)	259	WSM	SS	7,300	27.18	n/a	n/a	292.00 4.0
TOTAL (AO, CXL, CRT) :										2,801.00

TOTAL (Trade Date) :	131,607.71
TOTAL (AO, CXL, CRT) :	2,801.00

TOTAL (RUN DATE) / NFS :	134,408.71
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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