



Daily Compliance Activity Report

Trade Date: 07/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	ABX	B	100,000	48.39	n/a	n/a	4,000.00	4.0
COBALT	041	ACI	B	100,000	26.17	n/a	n/a	4,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	AVP	SS	15,000	28.25	n/a	20-Jun	0.00	0.0
TUDOR INVESTORS	028	AWI	B	2,000	45.73	n/a	n/a	60.00	3.0
ARMATURE CAPITAL	041	AXL	B	100,000	11.27	n/a	7-Jul	4,000.00	4.0
BMO NESBITT BURNS	041	AXL	SS	3,000	11.27	n/a	7-Jul	120.00	4.0
NEW JERSEY DIV OF INV.	030	BCO	S	25,000	30.33	n/a	n/a	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	B	S	35,100	24.77	n/a	n/a	1,404.00	4.0
HIGHBRIDGE CAP	041	CAT	B	10,000	109.82	n/a	2-May	300.00	3.0
KENNEDY CAPITAL	046	CBK	S	54,569	6.76	n/a	n/a	1,637.07	3.0
NEW JERSEY DIV OF INV.	030	CBT	S	75,000	41.93	n/a	5-Jul	3,000.00	4.0
SAC COHEN	044	CE	B	100,000	54.18	n/a	20-May	3,500.00	3.5
JETSTREAM GLOBAL FUND LP	065	CIEN	S	14,000	17.02	n/a	n/a	700.00	5.0
SIGMA CAPITAL ASSOCIATES	041	CQB	SS	25,000	12.76	n/a	n/a	875.00	3.5
FARALLON CAP MGMT	040	DELL	SS	40,000	16.70	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	DE	B	3,000	83.33	n/a	19-May	90.00	3.0
S.A.C. CAP/ORENSTEIN	044	EEM	B	150,000	47.13	n/a	n/a	5,250.00	3.5
MACQUARIE INVESTMENT MGMT. 040		EL	B	1,500	105.53	n/a	20-Jun	0.00	0.0
HIGHBRIDGE CAP	041	EOG	SS	20,000	100.07	n/a	n/a	600.00	3.0
SAC TRADING TOM LEDDY	035	FDO	SS	35,000	52.66	n/a	1-Jul	1,225.00	3.5
NEW JERSEY DIV OF INV.	030	FDX	S	102,500	94.22	n/a	n/a	4,100.00	4.0
SCOPUS FUND	041	FDX	B	25,000	95.33	n/a	n/a	1,000.00	4.0
FORWARD MGMT	033	FEIC	S	41,546	37.19	n/a	n/a	1,661.84	4.0
BMO NESBITT BURNS	041	F	B	57,000	13.37	n/a	13-Jul	2,780.00	4.5
BNP PARIBAS SEC	040	F	B	50,000	13.35	n/a	13-Jul	2,500.00	5.0
CIRCLE T/SES PART	033	F	B	25,000	13.37	n/a	13-Jul	1,000.00	4.0
MILLENNIUM-ICS BOBBY	044	F	B	10,000	13.37	n/a	13-Jul	300.00	3.0
OZ MGMT	040	F	B	149,937	13.36	n/a	13-Jul	4,498.11	3.0
PARAMETER CAPITAL MGMT LLC044		F	B	200,000	13.29	n/a	13-Jul	8,000.00	4.0
ROSEDALE CAPITAL	046	F	B	30,000	13.26	n/a	13-Jul	1,500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		F	B	25,000	13.36		n/a 13-Jul	1,000.00	4.0
WOOSTER CAPITAL	035	F	B	75,000	13.35	n/a	13-Jul	3,750.00	5.0
BUCK CAPITAL MGMT	001	GES	S	20,000	40.99	n/a	26-May	600.00	3.0
MACQUARIE INVESTMENT MGMT. 040		GES	B	5,000	41.05	n/a	26-May	0.00	0.0
NEW JERSEY DIV OF INV.	030	GE	B	768,000	18.74	n/a	n/a	30,720.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	GE	SS	50,000	18.75	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	50,000	36.01	n/a	12-May	1,500.00	3.0
ADALY INV MGMT	031	GLD	B	25,000	153.76	n/a	n/a	1,250.00	5.0
BNP PARIBAS SEC	040	GM	B	30,000	31.15	n/a	7-Jul	1,500.00	5.0
OZ MGMT	040	GM	SS	58,611	31.08	n/a	7-Jul	1,758.33	3.0
SOROS	036	GM	S	100,000	30.87	n/a	7-Jul	4,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GPS	SS	5,000	18.71	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	040	GT	B	110,000	17.70	n/a	n/a	5,500.00	5.0
HIGHBRIDGE CAP	041	HD	B	7,000	36.53	n/a	18-May	210.00	3.0
HIGHBRIDGE CAP	041	HFC	S	14,171	72.26	n/a	n/a	425.13	3.0
NEW JERSEY DIV OF INV.	030	HL	S	172,000	8.34	n/a	n/a	6,880.00	4.0
TUDOR INVESTORS	028	HSC	SS	3,000	32.23	n/a	28-Apr	90.00	3.0
FORWARD MGMT	033	IRF	S	18,200	26.80	n/a	n/a	728.00	4.0
TUDOR INVESTORS	028	IR	B	3,000	45.98	n/a	19-May	90.00	3.0
TUDOR INVESTORS	028	IYT	B	3,000	98.74	n/a	n/a	90.00	3.0
HIGHBRIDGE CAP	041	JCP	S	57,000	32.17	n/a	8-Jul	1,710.00	3.0
HIGHBRIDGE CAP	041	KRO	S	50,250	31.17	n/a	n/a	1,507.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	MGM	B	10,000	14.89	n/a	13-Jun	0.00	0.0
TUDOR INVESTORS	028	MHK	SS	2,000	56.44	n/a	n/a	60.00	3.0
HIGHBRIDGE CAP	041	MMM	B	10,000	96.88	n/a	17-May	300.00	3.0
TUDOR INVESTORS	028	ODFL	B	3,000	39.18	n/a	n/a	90.00	3.0
HIGHBRIDGE CAP	041	PPG	S	12,000	90.55	n/a	19-May	360.00	3.0
HIGHBRIDGE CAP	041	PVH	B	5,000	68.84	n/a	2-Jun	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	PVH	S	5,000	70.40	n/a	2-Jun	0.00	0.0
NOMURA CAPITAL	029	QLTY	S	5,000	13.02	n/a	n/a	150.00	3.0
SCOPUS FUND	041	RKT	B	16,000	63.05	n/a	n/a	640.00	4.0
HIGHBRIDGE CAP	041	RTI	SS	25,000	37.91	n/a	n/a	750.00	3.0
IMPALA ASSET MMT	012	SHLD	B	3,000	75.16	n/a	n/a	150.00	5.0
HIGHBRIDGE CAP	041	SIG	B	6,000	46.70	n/a	n/a	180.00	3.0
M&I FUNDS	047	SPLS	B	16,475	15.58	n/a	n/a	659.00	4.0
ASCEND PARTNERS	033	SPR	S	15,000	20.78	n/a	24-Jun	600.00	4.0
PAULSON & CO INC	041	SPY	SS	300,000	132.42	n/a	n/a	12,000.00	4.0
CARDINAL CAPITAL	044	SSI	S	3,600	18.66	n/a	n/a	180.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	TER	S	12,500	14.03	n/a	n/a	625.00	5.0
MERRILL ASSET/BLACKROCK	297	TESO	S	6,100	21.28	n/a	n/a	244.00	4.0
NEWLAND CAPITAL MGT	025	TEU	S	25,600	10.50	n/a	n/a	1,024.00	4.0
BASSWOOD PARTNERS	267	TEX	B	22,300	27.15	n/a	25-Apr	892.00	4.0
PARAMETER CAPITAL MGMT LLC044	044	TEX	B	3,400	26.44	n/a	25-Apr	136.00	4.0
TUDOR INVESTORS	028	TEX	SS	3,000	26.99	n/a	25-Apr	90.00	3.0
MACQUARIE INVESTMENT MGMT. 040	040	TGT	B	5,000	50.94	n/a	7-Jul	0.00	0.0
MACQUARIE INVESTMENT MGMT. 040	040	TGT	S	5,000	50.87	n/a	7-Jul	0.00	0.0
AVESTA CAP	229	UTX	S	25,000	88.50	n/a	n/a	750.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	VFC	S	3,941	116.36	n/a	2-May	157.64	4.0
HIGHBRIDGE CAP	041	VLO	B	77,000	25.97	n/a	n/a	2,310.00	3.0
ARCHON CAPITAL	035	VPRT	S	15,800	47.13	n/a	n/a	474.00	3.0
SOROS	036	WFT	B	100,000	18.99	n/a	n/a	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.90	n/a	18-May	1,750.00	3.5
HIGHBRIDGE CAP	041	WRC	B	5,000	53.60	n/a	6-May	150.00	3.0
HIGHBRIDGE CAP	041	WSM	B	7,000	38.05	n/a	n/a	210.00	3.0

TOTAL (Trade Date):

154,691.62

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8507MS)	036	BAC	S	7,060	10.70	n/a	1-Jul	211.80 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8012)	036	BAC	S	8,490	10.70	n/a	1-Jul	254.70 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8506)	036	BAC	S	10,520	10.70	n/a	1-Jul	315.60 3.0
AO,CXL	07/06	IRIDIAN ASSET MGMT. (IRAM8006MS)	036	BAC	S	25,280	10.70	n/a	1-Jul	758.40 3.0
AO,	07/06	IRIDIAN ASSET MGMT. (IRAM8006MS)	036	BAC	S	51,350	10.70	n/a	1-Jul	1540.50 3.0
AO,CXL	07/12	STATE TEACHERS RET SYS (STRSMAIN)	047	T	S	60,000	30.81	n/a	n/a	1800.00 3.0
AO,CRT	07/12	STATE TEACHERS RET SYS (STRSMAIN)	047	T	S	60,000	30.81	n/a	n/a	3000.00 5.0
TOTAL (AO, CXL, CRT) :										1,200.00
TOTAL (Trade Date) :										154,691.62
TOTAL (AO, CXL, CRT) :										1,200.00
TOTAL (RUN DATE) / NFS:										155,891.62

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