



## Daily Compliance Activity Report

Trade Date: 07/22/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
MUTUAL OF AMERICA CAPITAL	029	ANN	B	14,000	27.27	n/a	n/a	560.00 4.0
LAGRANGE CAP ADV	085	AOL	B	4,606	19.26	n/a	n/a	230.30 5.0
COUGAR TRADING	044	ARCO	B	10,000	23.99	n/a	n/a	500.00 5.0
MACQUARIE INVESTMENT MGMT.	040	BEAV	S	30,000	41.85	n/a	19-Jul	0.00 0.0
MA CAPITAL MGMT/MELLON ADV	041	BIG	S	4,000	36.03	n/a	27-May	160.00 4.0
SCOPUS FUND	041	BIG	S	50,100	35.95	n/a	27-May	2,004.00 4.0
PLATTE RIVER CAPITAL	240	BUD	S	8,200	58.71	n/a	29-Jun	328.00 4.0
CATAPULT	040	DHR	SS	5,000	52.02	n/a	n/a	200.00 4.0
1798 CAP/LOMBARD ASSET	040	EP	B	25,000	20.93	n/a	n/a	1,250.00 5.0
MACQUARIE INVESTMENT MGMT.	040	ETN	S	7,500	51.18	n/a	16-Jun	0.00 0.0
TUDOR INVESTORS	028	FCX	B	10,000	55.56	n/a	n/a	300.00 3.0
PAULSON & CO INC	041	FHN	S	500,000	9.49	n/a	n/a	15,000.00 3.0
RBC CAPITAL MARKETS	040	F	B	150,000	13.26	n/a	14-Jul	6,000.00 4.0
TUDOR INVESTORS	028	ITT	B	5,000	56.41	n/a	4-May	150.00 3.0
NEUBERGER BERMAN	036	LDR	S	1,600	60.83	n/a	n/a	64.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	LEA	S	10,000	52.61	n/a	14-Jul	500.00	5.0
ROSEDALE CAPITAL	046	LOW	B	35,000	22.62	n/a	13-Jun	1,750.00	5.0
NEUBERGER BERMAN	036	LXU	B	7,600	46.26	n/a	n/a	304.00	4.0
BRANDWINE	028	MCD	S	298,050	88.98	n/a	22-Jul	11,922.00	4.0
KENNEDY CAPITAL	046	MED	B	4,200	20.50	n/a	n/a	168.00	4.0
TROUBH PART	070	MET	S	15,000	41.71	n/a	n/a	750.00	5.0
PRIMECAP MGMT	084	MSFT	B	612,400	27.48	n/a	n/a	24,496.00	4.0
MTB INV ADV	034	MTOR	S	92,150	15.10	n/a	n/a	4,607.50	5.0
MA CAPITAL MGMT/MELLON ADV	041	NWSA	B	8,000	16.22	n/a	n/a	400.00	5.0
MUTUAL OF AMERICA CAPITAL	029	OMX	S	55,700	6.89	n/a	n/a	1,671.00	3.0
KLEINHEINZ CAP PART	031	RKT	B	39,300	64.44	n/a	n/a	1,965.00	5.0
DELTEC ASSET MGMT.	040	RRR	S	31,000	13.09	n/a	22-Jul	1,550.00	5.0
MERRILL ASSET/BLACKROCK	297	SPN	S	6,800	40.64	n/a	n/a	272.00	4.0
MERRILL ASSET/BLACKROCK	297	TESO	S	6,900	22.78	n/a	n/a	276.00	4.0
SCOPUS FUND	041	TEX	S	50,383	24.17	n/a	22-Jul	2,015.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	TNB	B	37,129	54.40	n/a	n/a	1,485.16	4.0
MERRILL ASSET/BLACKROCK	297	TTI	B	7,202	13.00	n/a	n/a	288.08	4.0
CATAPULT	040	WLK	SS	5,000	53.56	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	WST	B	12,400	46.32	n/a	n/a	496.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>81,862.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/21	MUTUAL OF AMERICA CAPITAL (MUTA24)	029	ANN	B	300	28.44	n/a	n/a	12.00 4.0
AO,	07/21	MUTUAL OF AMERICA CAPITAL (MUTA15)	029	ANN	B	2,150	28.44	n/a	n/a	86.00 4.0
AO,	07/21	MUTUAL OF AMERICA CAPITAL (MUTA67)	029	ANN	B	500	28.44	n/a	n/a	20.00 4.0
AO,	07/21	MUTUAL OF AMERICA CAPITAL (MUTA47)	029	ANN	B	22,050	28.44	n/a	n/a	882.00 4.0
CRT	07/22	ROSEDALE CAPITAL (ROSEJPM)	046	LOW	B	35,000	22.62	n/a	13-Jun	1750.00 5.0

**TOTAL (AO, CXL, CRT) :****2,750.00**

TOTAL (Trade Date) :

81,862.36

TOTAL (AO, CXL, CRT) :

2,750.00

**TOTAL (RUN DATE) / NFS:****84,612.36**

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