



## Daily Compliance Activity Report

Trade Date: 07/12/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	ACI	B	39,505	21.25	n/a	n/a	1,185.15	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>8,064</b>	<b>12.10</b>	<b>n/a</b>	<b>9-Jul</b>	<b>322.56</b>	<b>4.0</b>
EXIS CAPITAL	044	ANF	SS	2,500	35.96	n/a	9-Jul	125.00	5.0
EXIS CAPITAL	044	ANN	B	10,000	17.15	n/a	n/a	500.00	5.0
SHEFFIELD ASSET MGMT	031	ARO	B	37,000	28.37	n/a	9-Jul	1,850.00	5.0
SONICA CAPITAL LLC	025	AVP	SS	9,000	28.39	n/a	12-Jul	270.00	3.0
OZ MGMT	040	AXL	B	75,000	7.55	n/a	7-Jul	2,250.00	3.0
CAPITAL GROWTH MGMT.	241	AXP	S	240,000	42.61	n/a	12-Jul	12,000.00	5.0
WHITE PINE CAPITAL	030	BEBE	S	3,450	6.91	n/a	n/a	172.50	5.0
WADDELL AND REED	047	BSBR	B	250,000	12.19	n/a	n/a	7,500.00	3.0
SCOUT/UMB	047	CBS	S	137,175	14.01	n/a	n/a	4,115.25	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>111,196</b>	<b>35.69</b>	<b>n/a</b>	<b>14-May</b>	<b>4,447.84</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>S</b>	<b>15,000</b>	<b>26.64</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>4.0</b>
MARINER/TRICADIA	041	CYBX	B	3,400	22.80	n/a	n/a	170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARINER/TRICADIA	041	CYBX	S	3,400	23.68	n/a	n/a	170.00	5.0
SANDLER O'NEILL ASSET	031	C	S	50,000	4.05	n/a	6-Jul	1,000.00	2.0
MILLENIUM PARTNERS	028	DAN	B	20,000	10.37	n/a	7-Jul	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	FDO	B	25,000	36.22	n/a	7-Jul	875.00	3.5
MILLENIUM PARTNERS	028	F	SS	20,000	10.96	n/a	7-Jul	800.00	4.0
SONICA CAPITAL LLC	025	GME	B	15,100	19.34	n/a	n/a	453.00	3.0
HUNTER GLOBAL INVESTOR	067	JNS	S	148,270	10.02	n/a	n/a	4,448.10	3.0
DELTEC ASSET MGMT.	040	JNY	B	20,000	15.57	n/a	14-May	1,000.00	5.0
MILLENIUM PARTNERS	028	MAS	SS	10,000	11.26	n/a	n/a	400.00	4.0
SAC CAPITAL/M GRONET	030	M	B	10,000	18.03	n/a	9-Jul	350.00	3.5
SAC CAPITAL/M GRONET	030	M	S	5,000	18.09	n/a	9-Jul	0.00	0.0
SONICA CAPITAL LLC	025	NKE	S	6,600	69.71	n/a	n/a	198.00	3.0
MILLENIUM PARTNERS	028	OC	B	10,000	28.80	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	028	OEH	S	15,000	7.92	n/a	n/a	600.00	4.0
THE JAY GOLDMAN	028	PNK	SS	10,000	9.64	n/a	n/a	400.00	4.0
SONICA CAPITAL LLC	025	RIMM	B	8,000	53.85	n/a	n/a	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	TEX	SS	13,000	18.20	n/a	30-Apr	390.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	8	21.45	n/a	28-Jun	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	14,992	21.42	n/a	28-Jun	749.60	5.0
EXIS CAPITAL	044	TJX	SS	5,000	41.86	n/a	9-Jul	250.00	5.0
EXIS CAPITAL	044	UA	B	5,000	35.95	n/a	28-Apr	250.00	5.0
SAC CAPITAL/M GRONET	030	URBN	B	10,000	33.65	n/a	n/a	0.00	0.0
SAC CAPITAL/M GRONET	030	URBN	SS	20,000	33.60	n/a	n/a	700.00	3.5
HUNTER GLOBAL INVESTOR	067	USB	S	200,000	23.74	n/a	n/a	10,000.00	5.0
EXIS CAPITAL	044	UWM	SS	2,500	27.52	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	WRC	B	5,000	37.90	n/a	14-May	250.00	5.0
THE JAY GOLDMAN	028	WYN	S	5,000	21.53	n/a	n/a	200.00	4.0
COHE & STEERS	041	WY	S	37,000	38.23	n/a	28-Jun	1,480.00	4.0
EXIS CAPITAL	044	XRT	SS	20,000	36.47	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date):</b>								<b>63,037.00</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/09	TRELLUS PARTNERS LP (TRELMAIN)	028	AXL	B	50,000	7.65	n/a	7-Jul	1500.00 3.0
AO,	07/09	MARINER/TRICADIA (MARITRGSPB)	041	IWM	B	1,018	62.14	n/a	n/a	50.90 5.0
AO,CXL	07/09	MARINER/TRICADIA (MARITRICAD)	041	IWM	B	10,000	62.14	n/a	n/a	500.00 5.0
AO,CRT	07/09	MARINER/TRICADIA (MARITRICAD)	041	IWM	B	8,982	62.14	n/a	n/a	449.10 5.0
AO,CXL	07/09	SONICA CAPITAL LLC (SONIGS)	025	RIMM	B	5,200	52.42	n/a	n/a	260.00 5.0
AO,CRT	07/09	SONICA CAPITAL LLC (SONIGS)	025	RIMM	B	5,200	52.42	n/a	n/a	156.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,396.00</b>
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TOTAL (Trade Date) :	63,037.00
TOTAL (AO, CXL, CRT) :	1,396.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>64,433.00</b>
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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