



Daily Compliance Activity Report

Trade Date: 09/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ARO	SS	300,000	21.83	n/a	27-Aug	9,000.00	3.0
PZENA INV ADV	044	BA	S	130,700	62.26	n/a	1-Sep	4,574.79	3.5
FIRST NEW YORK LEDDY	035	BSX	B	10,000	5.20	n/a	n/a	400.00	4.0
CASTLE ARK	031	BWA	B	128,770	45.61	n/a	2-Aug	6,438.50	5.0
BUCK CAPITAL MGMT	001	CAB	B	20,000	16.10	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	CLB	B	5,075	80.48	n/a	22-Jul	253.75	5.0
LAGRANGE CAP ADV	048	CMG	SS	6,000	155.29	n/a	23-Jul	300.00	5.0
BROADARCH CAP/OLD NEWC	070	CNX	B	4,200	33.44	n/a	n/a	168.00	4.0
BROADARCH CAP/OLD NEWC	070	DAN	B	6,700	10.59	n/a	2-Aug	268.00	4.0
COLONIAL FUND LLC	036	DAN	B	25,000	10.55	n/a	2-Aug	750.00	3.0
L.R.BURTSCHY & CO	029	DAN	B	20,000	10.44	n/a	2-Aug	1,200.00	6.0
TRELLUS PARTNERS LP	028	DAN	B	36,400	10.54	n/a	2-Aug	1,820.00	5.0
MILLENNIUM PARTNERS ICSUS	041	EP	B	100,000	11.85	n/a	n/a	5,000.00	5.0
OZ MGMT	040	F	SS	178,000	11.75	n/a	31-Aug	5,340.00	3.0
SCOPUS FUND	041	F	B	50,000	11.66	n/a	31-Aug	2,500.00	5.0
CAMBIAR CAP	046	GLW	S	50,000	16.29	n/a	31-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	GPS	SS	30,000	17.22	n/a	n/a	1,050.00	3.5
THE JAY GOLDMAN	028	HTZ	S	25,000	8.83	n/a	n/a	1,000.00	4.0
FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4,730.01	5.5
BRIGADE CAPITAL MGMT	029	IWM	SS	100,000	61.96	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	40,000	31.73	n/a	n/a	1,600.00	4.0
LAGRANGE CAP ADV	048	JNS	B	10,000	9.26	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	KMT	B	9,900	26.07	n/a	30-Jul	396.00	4.0
SAC CAPITAL/M GRONET	030	KSS	B	30,000	48.43	n/a	27-Aug	1,050.00	3.5
BNP PARIBAS SEC	040	LTD	S	34,239	24.37	n/a	n/a	1,369.56	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	50,000	24.25	n/a	n/a	1,750.00	3.5
CIRCLE T/SES PART	035	LVS	SS	25,000	28.46	n/a	1-Sep	1,000.00	4.0
1798 CAP/LOMBARD ASSET	040	MCP	B	10,000	17.27	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MPER	S	50,000	3.90	n/a	1-Sep	1,500.00	3.0
BAIRD INVESTMENT	047	NDN	S	18,725	17.29	n/a	5-Aug	936.25	5.0
BNP PARIBAS SEC	040	NKE	B	10,000	71.83	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	NXY	S	14,700	19.21	n/a	n/a	588.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	OC	S	45,500	26.72	n/a	n/a	1,365.00	3.0
THE JAY GOLDMAN	028	OEH	S	10,000	9.49	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	OMC	S	11,000	36.09	n/a	n/a	440.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PCP	S	1,100	119.70	n/a	23-Jul	44.00	4.0
1798 CAP/LOMBARD ASSET	040	PDE	B	5,000	25.22	n/a	n/a	250.00	5.0
PLATTE RIVER CAPITAL	240	PEP	S	10,160	64.92	n/a	n/a	406.40	4.0
LAGRANGE CAP ADV	048	PFCB	SS	10,000	43.50	n/a	28-Jul	500.00	5.0
HARVEST MGMT	029	PLCE	B	5,000	44.85	n/a	19-Aug	250.00	5.0
SCOPUS FUND	041	PLCE	B	25,000	44.70	n/a	19-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	47.38	n/a	19-Jul	400.00	4.0
BNP PARIBAS SEC	040	RL	B	10,000	79.00	n/a	5-Aug	400.00	4.0
ARMATURE CAPITAL	041	ROK	B	20,000	52.92	n/a	n/a	800.00	4.0
BANK OF AMERICA/MERRILL	259	RRR	B	1,200	6.19	n/a	23-Jul	36.00	3.0
TRUSTCO/SUNTRUST	040	RRR	B	25,000	6.44	n/a	23-Jul	875.02	3.5
GREEN ARROW DOUG	040	SGMS	B	25,000	10.50	n/a	n/a	1,250.00	5.0
SONTERRA CAP	041	SSCC	B	35,000	17.74	n/a	26-Aug	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	TGT	B	20,000	52.57	n/a	27-Aug	600.00	3.0
WEINTRAUB CAPITAL MGT.	040	TIN	B	300,000	16.71	n/a	26-Aug	12,000.00	4.0
HOOVER INV. MGMT	033	TLB	B	70,000	10.74	n/a	n/a	2,800.00	4.0
MORRISON/TLB/BAYPOINT	040	TTC	S	9,752	51.51	n/a	n/a	487.60	5.0
BALYASNY ASSET MGMT	044	VFC	SS	15,000	73.07	n/a	23-Jul	750.00	5.0
GREEN ARROW DOUG	040	WEN	S	25,000	4.10	n/a	13-Aug	1,250.00	5.0
BALYASNY ASSET MGMT	044	WRC	B	20,000	44.47	n/a	6-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	23,700	44.46	n/a	6-Aug	948.00	4.0
OMEGA ADVISORS	041	YHOO	S	270,000	13.23	n/a	n/a	10,800.00	4.0
TOTAL (Trade Date):								102,884.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/31	NORTHWESTERN MUTUAL LIFE (NMLX611369)	047	FCX	B	8,000	72.10	n/a	n/a	320.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLX611369)	047	FCX	B	1,500	72.10	n/a	n/a	60.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLXNMLF79)	047	FCX	B	1,300	72.10	n/a	n/a	52.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLX875002)	047	FCX	B	5,200	72.10	n/a	n/a	208.00 4.0
AO,CXL	08/31	NORTHWESTERN MUTUAL LIFE (NMLX611369)	047	NEM	B	10,000	61.40	n/a	n/a	400.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLX611369)	047	NEM	B	4,400	61.40	n/a	n/a	176.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLXNMLF79)	047	NEM	B	1,400	61.40	n/a	n/a	56.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE (NMLX875002)	047	NEM	B	4,200	61.40	n/a	n/a	168.00 4.0
CRT	09/01	SONTERRA CAP (SONTGSRUCK)	041	SSCC	B	35,000	17.74	n/a	26-Aug	1400.00 4.0

TOTAL (AO, CXL, CRT) :	1,400.00
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TOTAL (Trade Date) :	102,884.88
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TOTAL (AO, CXL, CRT) :	1,400.00
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TOTAL (RUN DATE) / NFS :	104,284.88
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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