



Daily Compliance Activity Report

Trade Date: 06/02/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	ACV	B	34,400	27.24	n/a	26-Apr	1,341.58	3.9
MACKLOWE ASSET MGMT	041	AEO	S	50,000	12.56	n/a	28-May	2,000.00	4.0
FRED ALGER MGMT	035	AMG	B	6,685	69.42	n/a	2-Mar	254.03	3.8
HOOVER INV. MGMT	033	ANN	S	53,400	20.65	n/a	n/a	2,136.00	4.0
JP MORGAN VENTURES	046	AOL	S	6,600	20.83	n/a	n/a	330.00	5.0
CAPITAL GROWTH MGMT.	241	AZO	B	10,000	191.76	n/a	n/a	500.00	5.0
FRED ALGER MGMT	035	BAX	S	75,640	41.35	n/a	n/a	2,874.32	3.8
BUCK CAPITAL MGMT	001	BBY	B	10,000	39.69	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	BWA	S	20,000	37.80	n/a	30-Apr	1,000.00	5.0
SAGE ASSET MGMT	012	BX	B	25,000	10.28	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	CF	S	4,500	65.87	n/a	n/a	225.00	5.0
STATE TEACHERS RET SYS	047	CHD	B	30,000	66.90	n/a	25-May	1,500.00	5.0
STATE TEACHERS RET SYS	047	CMA	B	15,000	38.52	n/a	n/a	750.00	5.0
ROYCE TRADING	012	CMP	S	10,900	73.75	n/a	n/a	545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TPG-AXON	040	CPB	SS	65,000	35.96	n/a	n/a	3,250.00	5.0
RWC PARTNERS LTD	067	CPN	S	22,100	13.29	n/a	n/a	663.00	3.0
TRUSTCO/SUNTRUST	040	CRR	S	15,400	66.74	n/a	2-Jun	600.60	3.9
METROPOLITAN CAPITAL	044	DAN	B	17,100	10.84	n/a	30-Apr	855.00	5.0
RWC PARTNERS LTD	067	DISCA	S	126,300	38.38	n/a	n/a	3,789.00	3.0
WEISS PECK	040	DK	B	10,000	6.47	n/a	n/a	400.00	4.0
GEORGE WEISS	034	EAT	C	36,000	17.38	n/a	n/a	1,440.00	4.0
LOMBARDIA CAP MGMT	048	ENS	B	14,029	22.12	n/a	n/a	681.23	5.0
CAVU CAP ADV	028	F	S	50,000	11.75	n/a	1-Jun	2,500.00	5.0
OZ MGMT	040	F	B	285,291	11.81	n/a	1-Jun	8,558.73	3.0
LOMBARDIA CAP MGMT	048	GCO	S	9,733	30.95	n/a	n/a	472.73	5.0
TPG-AXON	040	GIS	SS	32,000	73.07	n/a	n/a	1,600.00	5.0
DSG CAPITAL	225	GLW	B	27,500	16.53	n/a	2-Jun	825.00	3.0
EXIS CAPITAL	044	GYMB	B	5,000	44.09	n/a	28-May	250.00	5.0
ROARING BLUE LION MGMT	012	GYMB	B	6,000	44.07	n/a	28-May	240.00	4.0
HOTCHKIS & WILEY	035	HD	S	130,900	33.59	n/a	19-May	6,545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TPG-AXON	040	HNZ	SS	52,000	44.27	n/a	n/a	2,600.00	5.0
JP MORGAN VENTURES	046	HRB	S	32,200	16.02	n/a	n/a	1,610.00	5.0
LISTED ERR	099	HRB	B	32,200	16.00	n/a	n/a	0.00	0.0
LISTED ERR	099	HRB	S	32,200	16.02	n/a	n/a	0.00	0.0
CONIFER/ISF	025	IBM	S	2,200	127.02	n/a	n/a	110.00	5.0
EXIS CAPITAL	044	JWN	B	15,000	39.52	n/a	28-May	750.00	5.0
SCOPUS FUND	041	KSS	S	6,600	50.92	n/a	28-May	330.00	5.0
TPG-AXON	040	K	SS	43,000	54.23	n/a	n/a	2,150.00	5.0
NEUBERGER BERMAN	036	LANC	B	7,772	54.06	n/a	n/a	310.88	4.0
BASIX	033	LEA	S	13,000	66.21	n/a	7-May	390.00	3.0
PZENA INV ADV	044	LRCX	S	18,925	37.90	n/a	n/a	662.38	3.5
BUCK CAPITAL MGMT	001	LTD	B	50,000	25.86	n/a	n/a	2,000.00	4.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.31	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	3,100	23.53	n/a	1-Jun	124.00	4.0
BUCK CAPITAL MGMT	001	MFB	B	30,300	22.43	n/a	n/a	1,212.00	4.0
STATE TEACHERS RET SYS	047	MFE	B	34,650	32.46	n/a	n/a	1,732.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	MPEL	S	35,000	4.31	n/a	1-Jun	1,400.00	4.0
FRED ALGER MGMT	035	MSFT	B	413,800	26.04	n/a	n/a	15,724.40	3.8
BALYASNY ASSET MGMT	044	M	S	25,000	21.93	n/a	28-May	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	M	S	80,000	21.96	n/a	28-May	4,000.00	5.0
RWC PARTNERS LTD	067	NWSA	B	725,000	13.26	n/a	n/a	21,750.00	3.0
CIRCLE T/SES PART	035	PAG	B	20,000	12.84	n/a	3-May	800.00	4.0
ROYCE TRADING	012	PLCE	B	21,100	47.62	n/a	21-May	1,055.00	5.0
THE JAY GOLDMAN	028	PNK	B	10,000	11.00	n/a	n/a	400.00	4.0
FRED ALGER MGMT	035	PRXL	S	116,000	22.69	n/a	n/a	4,408.00	3.8
EXIS CAPITAL	044	PVH	B	20,000	52.88	n/a	26-May	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	50,000	52.30	n/a	26-May	1,500.00	3.0
EXIS CAPITAL	044	RL	SS	5,000	83.25	n/a	20-May	250.00	5.0
SCOPUS FUND	041	RL	B	20,000	84.48	n/a	20-May	1,000.00	5.0
EXIS CAPITAL	044	SKS	B	10,000	8.80	n/a	n/a	500.00	5.0
LOMBARDIA CAP MGMT	048	SNA	B	6,734	43.73	n/a	n/a	327.02	5.0
GOLD SACHS SPECIAL SIT	030	SPY	SS	175,000	108.89	n/a	n/a	5,250.00	3.0
FRED ALGER MGMT	035	TEX	S	146,110	21.37	n/a	30-Apr	5,552.18	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	19.52	n/a	21-Apr	2,500.00	5.0
IRIDIAN ASSET MGMT.	036	TIN	B	34,160	19.70	n/a	21-Apr	1,708.00	5.0
JP MORGAN VENTURES	046	UNG	SS	25,000	7.45	n/a	n/a	750.00	3.0
CAVU CAP ADV	028	UTX	B	12,500	66.67	n/a	n/a	625.00	5.0
BALYASNY ASSET MGMT	044	WFC	S	100,000	28.35	n/a	21-May	5,000.00	5.0
SCOPUS FUND	041	WMT	B	40,000	51.35	n/a	19-May	2,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	39.73	n/a	14-May	1,200.00	4.0
EXIS CAPITAL	044	WRC	B	10,000	40.34	n/a	14-May	500.00	5.0
VISIUM/BALY BOBBY	044	WRC	C	5,000	39.51	n/a	14-May	250.00	5.0
ROTHSCHILD ASSET	040	XEC	S	7,070	76.42	n/a	n/a	282.80	4.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	40.51	n/a	15-Apr	2,500.00	5.0
TOTAL (Trade Date):								146,040.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/01	CAVU CAP ADV (CAVUCREDIS)	028	AMCC	S	10,460	11.24	n/a	n/a	523.00 5.0
AO,	06/01	CAVU CAP ADV (CAVUMORGAN)	028	AMCC	S	7,160	11.24	n/a	n/a	358.00 5.0
AO,CRT	06/01	THIRD COAST CAPITAL (3CAPPBOA)	035	COH	SS	5,000	40.94	n/a	14-May	250.00 5.0
AO,CRT	06/01	THIRD COAST CAPITAL (3CAPPBOA)	035	CVG	S	60,000	10.63	n/a	n/a	3000.00 5.0
AO,CXL	05/26	SCOPUS FUND (SCOPGS)	041	DBRN	S	5,155	26.70	n/a	n/a	257.75 5.0
AO,CRT	05/26	SCOPUS FUND (SCOPGS)	041	DBRN	S	5,155	26.70	n/a	n/a	257.75 5.0
AO,CXL	05/26	SCOPUS FUND (SCOPUBS)	041	DBRN	S	31,664	26.70	n/a	n/a	1583.20 5.0
AO,CRT	05/26	SCOPUS FUND (SCOPUBS)	041	DBRN	S	31,664	26.70	n/a	n/a	1583.20 5.0
AO,CXL	06/01	GREEN ARROW DOUG (GADRCSUSE)	040	EXR	B	50,000	14.71	n/a	n/a	2500.00 5.0
AO,CRT	06/01	WATERFRONT CAP (WATFDBPB)	028	EXR	B	50,000	14.71	n/a	n/a	2500.00 5.0
CRT	06/02	ROARING BLUE LION MGMT (ROARMAIN)	012	GYMB	B	6,000	44.07	n/a	28-May	240.00 4.0
AO,CXL	06/01	GREEN ARROW DOUG (GADRCSUSE)	040	IYR	SS	15,000	49.76	n/a	n/a	750.00 5.0
AO,CRT	06/01	WATERFRONT CAP (WATFDBPB)	028	IYR	SS	15,000	49.76	n/a	n/a	750.00 5.0
AO,	06/01	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	LVS	B	6,300	23.13	n/a	1-Jun	252.00 4.0
AO,	06/01	COLUMBUS CIRCLE (COLC3050)	036	PANL	B	7,939	17.39	n/a	n/a	317.56 4.0
AO,CXL	05/27	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	RVBD	B	300	28.60	n/a	n/a	15.00 5.0
AO,	05/27	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	RVBD	B	300	28.60	n/a	n/a	15.00 5.0
AO,	05/26	MANNING & NAPIER (MANNCD2229)	034	SHW	S	30	76.02	n/a	24-May	0.90 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/26	MANNING & NAPIER (MANNCD2220)	034	SHW	S	30	76.02	n/a	24-May	0.90 3.0
AO,	06/01	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	STD	SS	7,300	9.98	n/a	n/a	292.00 4.0
AO,	06/01	CAVU CAP ADV (CAVUCREDIS)	028	VLO	B	19,500	18.90	n/a	n/a	975.00 5.0
AO,	06/01	CAVU CAP ADV (CAVUMORGAN)	028	VLO	B	5,500	18.90	n/a	n/a	275.00 5.0
TOTAL (AO, CXL, CRT) :										6,482.56

TOTAL (Trade Date):	146,040.38
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TOTAL (RUN DATE) / NFS:	152,522.94
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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