



Daily Compliance Activity Report

Trade Date: 09/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	AEO	SS	9,000	14.66	n/a	2-Sep	450.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	325,000	14.60	n/a	2-Sep	13,000.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	17.31	n/a	n/a	2,000.00	4.0
GRANITE CAPITAL	028	AN	S	10,000	23.42	n/a	4-Aug	500.00	5.0
TROUBH PART	067	BBY	S	25,000	34.35	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	BMV	S	6,100	27.07	n/a	n/a	244.00	4.0
RBC CAPITAL MARKETS	040	DG	SS	20,000	27.38	n/a	1-Sep	800.00	4.0
RBC CAPITAL MARKETS	040	DLTR	B	50,000	46.92	n/a	19-Aug	2,000.00	4.0
TRUSTCO/SUNTRUST	040	DVN	B	10,650	62.05	n/a	11-Aug	372.75	3.5
BUCK CAPITAL MGMT	001	EL	B	10,000	59.07	n/a	13-Aug	400.00	4.0
TOCQUEVILLE	067	ESL	S	20,000	53.99	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	FDO	B	15,000	42.82	n/a	2-Sep	0.00	0.0
RBC CAPITAL MARKETS	040	FDO	SS	15,000	42.83	n/a	2-Sep	600.00	4.0
RBC CAPITAL MARKETS	040	FDO	S	15,000	42.79	n/a	2-Sep	0.00	0.0
O CAPITAL MGMT	029	FOR	B	2,000	15.63	n/a	26-Aug	100.00	5.0
OZ MGMT	040	F	SS	400,000	11.89	n/a	2-Sep	12,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RWC PARTNERS LTD	067	F	B	637,400	11.94	n/a	2-Sep	19,122.00	3.0
SHEFFIELD ASSET MGMT	031	HD	S	37,100	30.05	n/a	17-Aug	1,855.00	5.0
CIRCLE T/SES PART	035	HK	S	25,000	16.26	n/a	n/a	1,000.00	4.0
CATAPULT	040	HXL	B	6,600	18.51	n/a	n/a	330.00	5.0
KACELA CAPITAL	034	KSS	SS	25,000	48.37	n/a	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	48.33	n/a	2-Sep	400.00	4.0
SCOPUS FUND	041	KSS	SS	36,467	48.41	n/a	2-Sep	1,823.35	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	72.11	n/a	4-Aug	300.00	3.0
METROPOLITAN CAPITAL	044	LEA	B	5,400	71.40	n/a	4-Aug	216.00	4.0
LAGRANGE CAP ADV	048	LINC	B	10,000	12.68	n/a	n/a	500.00	5.0
MASTERS CAPITAL MANAGE	091	LPX	S	50,000	7.75	n/a	26-Aug	2,000.00	4.0
BALYASNY ASSET MGMT	044	LTD	B	25,000	25.87	n/a	n/a	1,250.00	5.0
TOCQUEVILLE	067	LZ	S	500	102.72	n/a	n/a	25.00	5.0
CHILTON CAPITAL MGMT.	036	MDT	B	101,730	33.58	n/a	n/a	3,051.90	3.0
SAXON WOODS ADVISORS	242	MSFT	B	25,000	25.17	n/a	n/a	1,000.00	4.0
CAERUS GLOBAL	041	NDN	S	15,000	17.95	n/a	5-Aug	600.00	4.0
BANK OF AMERICA/MERRILL	259	NSC	S	1,750	59.45	n/a	n/a	87.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BANK OF AMERICA/MERRILL	259	OI	S	6,000	28.82	n/a	n/a	240.00	4.0
GRANITE CAPITAL	028	PAG	B	10,000	11.99	n/a	4-Aug	500.00	5.0
LAGRANGE CAP ADV	048	PAG	B	10,000	12.20	n/a	4-Aug	500.00	5.0
CATAPULT	040	PCP	B	1,155	125.34	n/a	23-Jul	57.75	5.0
ROARING BLUE LION MGMT	012	PLCE	S	4,800	48.95	n/a	19-Aug	192.00	4.0
PROSPECTOR PARTNERS LLC	036	SJT	S	11,800	22.23	n/a	n/a	472.00	4.0
WEISS PECK	040	SKX	B	49,100	22.33	n/a	n/a	2,455.00	5.0
ARMATURE CAPITAL	041	SOA	B	50,000	15.29	n/a	n/a	2,000.00	4.0
CATAPULT	040	SPR	B	6,600	20.34	n/a	4-Aug	330.00	5.0
CATAPULT	040	SRX	B	3,935	20.32	n/a	n/a	196.75	5.0
SCHOTTENFELD ASSOC	041	SSCC	S	5,100	18.90	n/a	26-Aug	255.00	5.0
TALKOT CAPITAL LLC	084	SSCC	B	5,000	18.52	n/a	26-Aug	200.00	4.0
SENATOR INVESTMENT GROUP	036	STLD	S	135,000	14.50	n/a	n/a	4,050.00	3.0
MELLON/BANK OF NEW YORK	046	TDC	B	75,478	35.13	n/a	n/a	3,773.90	5.0
CATAPULT	040	TGI	B	2,061	72.81	n/a	n/a	103.05	5.0
GRANITE CAPITAL	028	TGT	S	19,700	53.08	n/a	2-Sep	985.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TIN	S	6,000	19.68	n/a	26-Aug	420.00	7.0
RBC CAPITAL MARKETS	040	VALE	B	40,000	27.98	n/a	n/a	1,600.00	4.0
BANK OF AMERICA/MERRILL	259	WNC	S	2,500	7.33	n/a	n/a	75.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	48.44	n/a	6-Aug	1,600.00	4.0
SAC CAPITAL/M GRONET	030	WRC	B	10,000	48.33	n/a	6-Aug	350.00	3.5
ROSEDALE CAPITAL	046	XOM	S	20,000	60.87	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								90,632.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/10	CARDINAL CAPITAL (CARDMIDCAP)	044	HEW	S	250	49.23	n/a	n/a	12.50	5.0
AO,	09/10	CARDINAL CAPITAL (CARDMIDCAP)	044	HEW	S	250	49.23	n/a	n/a	12.50	5.0
AO,CRT	09/10	S.A.C. CAP/ORENSTEIN (SACCNEWORE)	044	PTEN	S	200,000	16.29	n/a	n/a	7000.00	3.5
AO,CXL	09/10	SAC CAPITAL/M GRONET (SACJGSMG)	030	PTEN	S	200,000	16.29	n/a	n/a	0.00	0.0
CRT	09/13	ROSEDALE CAPITAL (ROSEGS)	046	XOM	S	20,000	60.87	n/a	n/a	1000.00	5.0

TOTAL (AO, CXL, CRT) :	8,000.00
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TOTAL (Trade Date) :	90,632.95
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TOTAL (RUN DATE) / NFS :	98,632.95
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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