



# Daily Compliance Activity Report

Trade Date: 09/22/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AA	SS	25,000	11.56	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	ACV	S	15,300	31.29	n/a	27-Jul	535.56	3.5
GRUSS CAPITAL	025	ADBE	B	20,000	26.39	n/a	n/a	600.00	3.0
PIONEER PATH	226	ANF	B	13,700	36.32	n/a	2-Sep	411.00	3.0
PIONEER PATH	226	ANN	B	25,000	18.80	n/a	n/a	750.00	3.0
MUTUAL OF AMERICA CAPITAL	029	AVP	S	12,116	31.79	n/a	30-Jul	484.64	4.0
SF SENTRY	085	AXE	B	7,500	49.66	n/a	22-Sep	375.00	5.0
CATAPULT	040	BAC	B	25,000	13.53	n/a	22-Sep	1,250.00	5.0
LAGRANGE CAP ADV	048	BONT	B	10,000	8.05	n/a	n/a	500.00	5.0
MILLENIUM SUB A/C NEW VERNON	085	BZ	B	50,000	6.65	n/a	n/a	2,500.00	5.0
<b>Michael DiMattia</b>		<b>CE</b>	<b>B</b>	<b>75</b>	<b>31.5990</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	CHRW	SS	40,000	68.08	n/a	n/a	1,200.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>CLS</b>	<b>B</b>	<b>100</b>	<b>8.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>CLS</b>	<b>S</b>	<b>100</b>	<b>8.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MUTUAL OF AMERICA CAPITAL	029	CLX	S	5,345	66.51	n/a	23-Aug	213.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	CPT	S	35,000	48.71	n/a	n/a	1,750.00	5.0
BAIRD INVESTMENT	047	DRC	B	14,300	37.25	n/a	n/a	715.00	5.0
PIONEER PATH	226	DRI	B	50,000	43.25	n/a	22-Sep	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	EMR	SS	10,000	51.64	n/a	n/a	500.00	5.0
SONTERRA CAP	041	EXC	SS	10,000	43.09	n/a	n/a	400.00	4.0
SCHOTTENFELD ASSOC	041	FBR	B	25,000	16.79	n/a	n/a	750.00	3.0
SONTERRA CAP	041	FLR	SS	10,000	49.38	n/a	n/a	400.00	4.0
Õ Michael DiMattia		GDX	B	50	56.3890	n/a	n/a	0.00	0.0
PZENA INV ADV	044	GFF	S	10,525	11.53	n/a	n/a	368.38	3.5
PIONEER PATH	226	GIL	B	55,000	27.64	n/a	13-Aug	1,650.00	3.0
Õ Michael DiMattia		GLD	B	251	26.3890	n/a	n/a	0.00	0.0
WATERFRONT CAP	028	IMAX	B	50,000	16.83	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	21.40	n/a	20-Sep	1,250.00	5.0
CATAPULT	040	IP	SS	10,000	21.86	n/a	20-Sep	500.00	5.0
US BANCORP	030	IP	S	185,965	21.59	n/a	20-Sep	9,298.25	5.0
WHITE PINE CAPITAL	030	IWO	SS	3,000	73.33	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	IWV	SS	4,500	67.53	n/a	n/a	225.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>50,000</b>	<b>32.57</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
CATAPULT	040	JPM	S	5,000	40.11	n/a	22-Sep	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>10,174</b>	<b>15.42</b>	<b>n/a</b>	<b>n/a</b>	<b>406.96</b>	<b>4.0</b>
KADE CAPITAL LLC	028	KMT	B	5,000	30.36	n/a	30-Jul	250.00	5.0
PZENA INV ADV	044	LH	B	2,100	76.33	n/a	n/a	73.50	3.5
ENTRUST CAPITAL	040	LOPE	B	32,135	20.78	n/a	n/a	1,606.75	5.0
CHILTON CAPITAL MGMT.	036	MDT	B	50,000	33.57	n/a	n/a	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>20,000</b>	<b>29.11</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PIONEER PATH	226	MHK	B	15,000	49.24	n/a	n/a	450.00	3.0
<b>Õ Michael DiMattia</b>		<b>MOS</b>	<b>S</b>	<b>50</b>	<b>60.4800</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC TRADIN/BINDER	044	NCR	S	22,340	14.03	n/a	n/a	781.90	3.5
BAIRD INVESTMENT	047	OII	B	10,400	53.19	n/a	n/a	520.00	5.0
DARUMA ASSET MGMT INC	046	PMCS	B	200,000	7.20	n/a	n/a	8,000.00	4.0
PZENA INV ADV	044	PNC	B	225	52.25	n/a	n/a	7.88	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	PNM	B	3,900	11.15	n/a	n/a	136.50	3.5
BUCK CAPITAL MGMT	001	PVH	S	46,200	58.64	n/a	9-Sep	1,848.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	87.98	n/a	5-Aug	1,200.00	4.0
Õ Michael DiMattia		SDS	S	100	29.7600	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	SFUN	S	12,005	67.09	n/a	n/a	480.20	4.0
LAGRANGE CAP ADV	048	SKX	B	10,000	21.93	n/a	n/a	500.00	5.0
CENTURION PARTNERS	041	SLF	B	100	25.70	n/a	n/a	5.00	5.0
Õ Michael DiMattia		SMN	S	100	29.2610	n/a	n/a	0.00	0.0
TALKOT CAPITAL LLC	084	SSCC	S	10,000	19.08	n/a	20-Sep	400.00	4.0
EPOCH INV MGMT	030	SSI	B	36,550	12.55	n/a	n/a	1,096.50	3.0
SLS CAPITAL LLC	224	STX	B	43,200	11.21	n/a	n/a	1,728.00	4.0
DAWSON CAPITAL MGMT.	085	SUN	SS	12,300	34.22	n/a	n/a	615.00	5.0
KACELA CAPITAL	034	TOL	SS	32,000	18.56	n/a	n/a	1,280.00	4.0
ROTHSCHILD ASSET	040	TXT	B	12,920	20.37	n/a	n/a	516.80	4.0
Õ Michael DiMattia		VALE	B	75	29.3200	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	WFMI	B	70,000	36.66	n/a	n/a	2,450.00	3.5
BUCK CAPITAL MGMT	001	WRC	S	50,000	47.86	n/a	6-Aug	2,000.00	4.0
JP MORGAN VENTURES	046	XRT	SS	10,000	40.52	n/a	n/a	300.00	3.0
<b>TOTAL (Trade Date):</b>								<b>62,729.62</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/22	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	FBR	B	25,000	16.79	n/a	n/a	750.00 3.0
CRT	09/22	WATERFRONT CAP (WATFDBPB)	028	IMAX	B	50,000	16.83	n/a	n/a	2000.00 4.0
AO,	09/21	ROYAL CAPITAL MGMT (ROYAGOLDMA)	070	SSCC	B	32,800	19.00	n/a	20-Sep	1640.00 5.0
AO,	09/21	EPOCH INV MGMT (EPOCUNCCEQ)	030	V	S	1,400	70.63	n/a	22-Sep	42.00 3.0
AO,CXL	09/21	NEUSTRADA CAP LLC (NEUSJPMPB)	085	WHR	B	25,000	79.66	n/a	n/a	1000.00 4.0
AO,CRT	09/21	NEUSTRADA CAP LLC (NEUSJPMPB)	085	WHR	B	25,000	79.66	n/a	n/a	750.00 3.0
AO,CXL	09/17	NOMURA CAPITAL (NOMUNOMCBO)	029	WINN	S	5,156	6.96	n/a	n/a	154.68 3.0
AO,	09/17	NOMURA CAPITAL (NOMUNCRAM)	029	WINN	SS	5,156	6.96	n/a	n/a	154.68 3.0
AO,	09/21	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	WY	B	50,000	15.41	n/a	26-Aug	2000.00 4.0

**TOTAL (AO, CXL, CRT) :****6,182.00**

TOTAL (Trade Date) :

62,729.62

TOTAL (AO, CXL, CRT) :

6,182.00

**TOTAL (RUN DATE) / NFS:****68,911.62**

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