



## Daily Compliance Activity Report

Trade Date: 07/22/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	ACGY	S	2,100	14.59	n/a	n/a	63.00	3.0
WEISS PECK	040	AEO	B	17,800	12.30	n/a	9-Jul	890.00	5.0
WAGONHOUND/NIC	289	ALGN	S	1,347	14.85	n/a	n/a	53.88	4.0
EXIS CAPITAL	044	ANF	SS	5,000	34.91	n/a	9-Jul	250.00	5.0
EXIS CAPITAL	044	ARO	SS	10,000	29.70	n/a	9-Jul	500.00	5.0
OZ MGMT	040	AXL	B	100,000	8.53	n/a	15-Jul	3,000.00	3.0
TRELLUS PARTNERS LP	028	AXL	S	56,100	8.67	n/a	15-Jul	1,683.00	3.0
FIRST NEW YORK LEDDY	035	BSX	B	10,000	6.09	n/a	n/a	400.00	4.0
CATAPULT	040	BTU	SS	1,052	44.86	n/a	n/a	52.60	5.0
TRELLUS PARTNERS LP	028	BWA	B	20,000	42.07	n/a	15-Jul	1,000.00	5.0
BNP PARIBAS SEC	040	CAT	SS	20,000	68.17	n/a	12-May	800.00	4.0
SACC-SCHWARTZ	044	CAT	SS	25,000	68.45	n/a	12-May	875.00	3.5
CAMBIAR CAP	046	CBE	B	20,150	44.95	n/a	22-Jul	806.00	4.0
CATAPULT	040	CBE	SS	1,739	45.64	n/a	22-Jul	86.95	5.0
CATAPULT	040	CHK	S	2,982	21.66	n/a	n/a	149.10	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>100,000</b>	<b>36.47</b>	<b>n/a</b>	<b>19-Jul</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PECONIC PARTNERS	036	COH	SS	100,000	36.30	n/a	19-Jul	5,000.00	5.0
TROUBH PART	067	COH	B	25,000	36.65	n/a	19-Jul	1,250.00	5.0
BNP PARIBAS SEC	040	COL	B	7,500	55.96	n/a	21-Jul	300.00	4.0
JP MORGAN VENTURES	046	CRI	B	20,000	25.68	n/a	n/a	1,000.00	5.0
CATAPULT	040	CRK	S	2,070	26.68	n/a	n/a	103.50	5.0
CATAPULT	040	CRR	SS	1,180	78.85	n/a	19-Jul	59.00	5.0
1798 CAP/LOMBARD ASSET	040	CYT	B	2,000	48.97	n/a	n/a	100.00	5.0
LONG OAR GLOBAL INV	040	DAN	B	100,000	11.20	n/a	15-Jul	4,000.00	4.0
JP MORGAN VENTURES	046	DF	S	25,000	11.75	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	SS	10,000	42.66	n/a	6-Jul	350.00	3.5
THOMPSON SIEGAL&WALMSLEY	029	ENDP	S	1,700	23.36	n/a	19-Jul	68.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	S	2,300	23.36	n/a	19-Jul	92.00	4.0
1798 CAP/LOMBARD ASSET	040	EP	B	40,000	12.35	n/a	n/a	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ETH</b>	<b>SS</b>	<b>10,000</b>	<b>15.47</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
CONIFER/ISF	025	FL	B	3,000	13.62	n/a	16-Jun	150.00	5.0
MELLON/BANK OF NEW YORK	046	FTR	B	13,000	7.34	n/a	n/a	650.00	5.0
OZ MGMT	040	F	B	150,000	11.94	n/a	15-Jul	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	S	150,000	12.13	n/a	15-Jul	4,500.00	3.0
THIRD COAST CAPITAL	035	F	B	50,000	12.00	n/a	15-Jul	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>27.49</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	GES	SS	5,000	35.09	n/a	19-Jul	250.00	5.0
BNP PARIBAS SEC	040	GE	SS	20,000	15.15	n/a	n/a	800.00	4.0
SCOPUS FUND	041	GPI	SS	5,000	26.80	n/a	15-Jul	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	SS	25,000	18.26	n/a	n/a	875.00	3.5
DIAMONDBACK CAP MGMT	232	GTI	S	25,000	16.15	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	GYMB	SS	10,000	43.08	n/a	9-Jul	500.00	5.0
EVERCORE WEALTH MGMT	012	HCBK	S	52,750	12.17	n/a	21-Jul	2,110.00	4.0
BMO NESBITT BURNS	041	HSP	B	3,000	57.70	n/a	22-Jul	300.00	10.0
THE JAY GOLDMAN	028	HST	B	20,000	13.97	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	HTZ	S	20,000	10.82	n/a	n/a	800.00	4.0
CATAPULT	040	ITW	SS	1,775	42.12	n/a	21-Jul	88.75	5.0
Õ Alice Longley		IYR	S	1200	49.7500	n/a	n/a	0.00	0.0
Õ Alice Longley		IYT	S	400	77.6000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	JCI	B	5,000	29.27	n/a	16-Jun	200.00	4.0
EXIS CAPITAL	044	JNY	B	42,600	15.47	n/a	19-Jul	2,130.00	5.0
ARCHON CAPITAL	035	KCG	S	60,000	13.80	n/a	n/a	1,800.00	3.0
EXIS CAPITAL	044	KSS	SS	10,000	48.03	n/a	9-Jul	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	5,400	71.81	n/a	15-Jul	162.00	3.0
BMO NESBITT BURNS	041	LPX	B	17,000	7.05	n/a	19-Jul	510.00	3.0
BALYASNY ASSET MGMT	044	LTD	B	30,000	25.23	n/a	n/a	1,500.00	5.0
TRELLUS PARTNERS LP	028	LVS	SS	10,000	25.16	n/a	7-Jul	500.00	5.0
CASTLE ARK	031	MHS	S	143,900	50.10	n/a	n/a	7,195.00	5.0
COLUMBUS CIRCLE	036	MLNX	S	46	19.82	n/a	n/a	1.84	4.0
CATAPULT	040	MTW	SS	7,682	9.80	n/a	30-Apr	384.10	5.0
BMO NESBITT BURNS	041	MYL	SS	7,000	17.82	n/a	19-Jul	700.00	10.0
EXIS CAPITAL	044	M	B	10,000	18.95	n/a	9-Jul	500.00	5.0
WAGONHOUND/NIC	289	PAG	B	7,862	12.94	n/a	15-Jul	314.48	4.0
EXIS CAPITAL	044	PLCE	SS	10,000	44.78	n/a	3-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	PTV	SS	41,000	29.77	n/a	n/a	1,640.00	4.0
CATAPULT	040	PWR	SS	3,550	21.66	n/a	n/a	177.50	5.0
MACKLOWE ASSET MGMT	041	RCL	SS	80,800	26.62	n/a	n/a	3,232.00	4.0
NWQ INVESTMENT MGMT CO	084	RDEN	S	2,600	15.50	n/a	17-May	78.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>25,000</b>	<b>76.51</b>	<b>n/a</b>	<b>19-Jul</b>	<b>1,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	RL	B	7,500	76.04	n/a	19-Jul	375.00	5.0
BNP PARIBAS SEC	040	ROK	B	8,000	53.91	n/a	n/a	320.00	4.0
EXIS CAPITAL	044	ROST	SS	15,000	54.49	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	SKX	B	20,000	35.55	n/a	n/a	1,000.00	5.0
SENATOR INVESTMENT GROUP	036	SPY	B	65,000	109.58	n/a	n/a	1,950.00	3.0
	031	SSI	B	5,341	11.01	n/a	n/a	213.64	4.0
MELLON/BANK OF NEW YORK	046	STX	S	38,820	13.16	n/a	n/a	1,941.00	5.0
JP MORGAN VENTURES	046	TGT	B	10,000	51.66	n/a	9-Jul	500.00	5.0
CASTLEROCK	040	TIF	B	76,060	40.54	n/a	n/a	3,042.40	4.0
TROUBH PART	067	TIF	B	25,000	40.71	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	UPS	S	9,000	63.73	n/a	n/a	450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	VFC	SS	40,000	78.10	n/a	19-Jul	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	WLT	S	10,000	72.06	n/a	n/a	500.00	5.0
SCOPUS FUND	041	WRC	B	2,300	40.58	n/a	19-Jul	115.00	5.0
<b>TOTAL (Trade Date):</b>								<b>88,737.74</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/21	WAGONHOUND/NIC (WAGO102800)	289	ALGN	S	409	14.55	n/a	n/a	16.36	4.0
AO,CXL	07/21	SCOPUS FUND (SCOPGS)	041	ANF	B	1,313	34.78	n/a	9-Jul	65.65	5.0
AO,CRT	07/21	SCOPUS FUND (SCOPGS)	041	ANF	B	1,312	34.78	n/a	9-Jul	65.60	5.0
AO,CXL	07/21	SCOPUS FUND (SCOPUBS)	041	ANF	B	6,889	34.78	n/a	9-Jul	344.45	5.0
AO,CRT	07/21	SCOPUS FUND (SCOPUBS)	041	ANF	B	6,890	34.78	n/a	9-Jul	344.50	5.0
AO,	07/21	WAGONHOUND/NIC (WAGO102800)	289	BCSI	S	145	20.55	n/a	n/a	5.80	4.0
AO,	07/21	WAGONHOUND/NIC (WAGO102800)	289	BCSI	S	124	20.55	n/a	n/a	4.96	4.0
AO,	07/21	WAGONHOUND/NIC (WAGOP02453)	289	BCSI	S	369	20.55	n/a	n/a	14.76	4.0
AO,	07/21	WAGONHOUND/NIC (WAGONIC)	289	BCSI	S	1,624	20.55	n/a	n/a	64.96	4.0
CRT	07/22	TROUBH PART (TROUGOLD)	067	COH	B	25,000	36.65	n/a	19-Jul	1250.00	5.0
AO,	07/21	FEDERATED INV/KAUFMAN (FEDEIFKAUF)	029	DGI	B	1,754	25.52	n/a	n/a	96.47	5.5
AO,	07/21	FEDERATED INV/KAUFMAN (FEDEFKAUF)	029	DGI	B	66,346	25.52	n/a	n/a	3649.03	5.5
CRT	07/22	THE JAY GOLDMAN (GOLDGSBULK)	028	HST	B	20,000	13.97	n/a	n/a	800.00	4.0
CRT	07/22	TRELLUS PARTNERS LP (TRELMAIN)	028	LVS	SS	10,000	25.16	n/a	7-Jul	500.00	5.0
AO,	07/21	DENVER INST. ADV (DENV92)	046	MFB	B	7,700	22.26	n/a	n/a	308.00	4.0
AO,	07/21	DENVER INST. ADV (DENV100)	046	MFB	B	44,300	22.26	n/a	n/a	1772.00	4.0
AO,	07/21	SASCO ()	239	SE	S	640	20.94	n/a	n/a	25.60	4.0
AO,	07/21	SASCO ()	239	SE	S	32,400	20.94	n/a	n/a	1296.00	4.0
AO,	07/21	SASCO ()	239	SE	S	620	20.94	n/a	n/a	24.80	4.0
AO,CXL	07/21	SASCO (SASCGRIDVE)	239	SE	S	640	20.94	n/a	n/a	25.60	4.0
AO,CXL	07/21	SASCO (SASCWIDER)	239	SE	S	620	20.94	n/a	n/a	24.80	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/21	SASCO (SASCPIZER)	239	SE	S	32,400	20.94	n/a	n/a	1296.00 4.0
AO,CXL	07/21	KACELA CAPITAL (KACEGS)	034	SMH	SS	64,000	27.67	n/a	n/a	2560.00 4.0
AO,CRT	07/21	KACELA CAPITAL (KACEGS)	034	SMH	SS	64,000	27.67	n/a	n/a	1920.00 3.0
CRT	07/22	TROUBH PART (TROUGOLD)	067	TIF	B	25,000	40.71	n/a	n/a	1250.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>9,092.34</b>
TOTAL (Trade Date) :										88,737.74
TOTAL (AO, CXL, CRT) :										9,092.34
<b>TOTAL (RUN DATE) / NFS :</b>										<b>97,830.08</b>



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