



## Daily Compliance Activity Report

Trade Date: 07/02/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	AXL	B	38,700	6.99	n/a	3-May	1,161.00	3.0
FIRST NEW YORK LEDDY	035	BSX	B	10,000	6.12	n/a	n/a	600.00	6.0
BANK OF AMERICA/MERRILL	259	BUD	B	3,000	48.90	n/a	n/a	150.00	5.0
COOPER CREEK PART	028	BWA	B	10,000	37.50	n/a	30-Apr	500.00	5.0
SAXON WOODS ADVISORS	242	CAT	B	78,540	60.06	n/a	12-May	3,141.60	4.0
M&I FUNDS	047	CBE	S	59,426	43.65	n/a	27-May	2,377.04	4.0
MTB INV ADV	034	CBG	S	23,875	13.35	n/a	n/a	1,193.75	5.0
COLUMBIA PARTNERS	028	CFSG	S	19,071	8.77	n/a	n/a	572.13	3.0
EXIS CAPITAL	044	DECK	B	5,000	142.60	n/a	n/a	250.00	5.0
MTB INV ADV	034	DHX	S	20,750	6.98	n/a	n/a	1,037.50	5.0
THE JAY GOLDMAN	028	FDO	B	10,000	38.83	n/a	30-Jun	400.00	4.0
KENNEDY CAPITAL	046	FUL	B	17,600	18.98	n/a	n/a	704.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>31.91</b>	<b>n/a</b>	<b>28-May</b>	<b>400.00</b>	<b>4.0</b>
MTB INV ADV	034	GIII	S	3,125	22.78	n/a	n/a	156.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	GIS	S	10,000	35.37	n/a	n/a	500.00	5.0
Õ Michael DiMattia		GT	B	100	9.9700	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	GYMB	B	38,900	44.03	n/a	30-Jun	1,556.00	4.0
WINSLOW CAPITAL	030	HPQ	B	140,100	42.48	n/a	n/a	5,604.00	4.0
MTB INV ADV	034	INFA	S	3,100	23.77	n/a	n/a	155.00	5.0
IVORY CAPITAL	034	IWM	SS	804,500	60.20	n/a	n/a	4,022.50	0.5
ROYCE TRADING	012	JNY	B	5,000	15.19	n/a	14-May	250.00	5.0
DIAMONDBACK CAP MGMT	232	JOYG	SS	10,000	52.04	n/a	4-Jun	500.00	5.0
ROYCE TRADING	012	KNDL	B	5,500	11.00	n/a	n/a	275.00	5.0
THE JAY GOLDMAN	028	KSS	SS	10,000	48.77	n/a	30-Jun	400.00	4.0
ROYCE TRADING	012	LIZ	B	10,000	4.10	n/a	7-Oct	300.00	3.0
ROYCE TRADING	012	LLNW	S	10,000	4.59	n/a	n/a	300.00	3.0
ROYCE TRADING	012	LORL	S	1,229	43.12	n/a	n/a	61.45	5.0
T. ROWE PRICE	033	LPX	B	400,000	6.88	n/a	29-Jun	8,000.00	2.0
JP MORGAN VENTURES	046	LTD	S	15,000	22.60	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	LZB	B	5,000	7.24	n/a	n/a	250.00	5.0
BANK OF AMERICA/MERRILL	259	MCD	B	8,000	66.19	n/a	8-Jun	480.00	6.0
MTB INV ADV	034	MFB	S	3,125	20.14	n/a	n/a	156.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MS</b>	<b>B</b>	<b>20,000</b>	<b>22.77</b>	<b>n/a</b>	<b>25-Jun</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	M	B	5,000	18.45	n/a	30-Jun	250.00	5.0
COHE & STEERS	041	PCL	B	55,209	34.04	n/a	28-Jun	2,208.36	4.0
EXIS CAPITAL	044	PIR	B	80,000	6.20	n/a	n/a	4,000.00	5.0
MTB INV ADV	034	PNRA	S	2,075	76.05	n/a	28-Apr	103.75	5.0
EXIS CAPITAL	044	PSS	B	5,000	16.84	n/a	n/a	250.00	5.0
CASTLEROCK	040	PVH	B	56,916	45.57	n/a	26-May	2,276.64	4.0
MELLON/BANK OF NEW YORK	046	QEP	B	91,660	29.60	n/a	n/a	2,749.80	3.0
MELLON/BANK OF NEW YORK	046	QEP	S	257,675	29.51	n/a	n/a	7,730.25	3.0
CAVU CAP ADV	028	RDSA	B	50,000	50.16	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>20,000</b>	<b>73.46</b>	<b>n/a</b>	<b>20-May</b>	<b>800.00</b>	<b>4.0</b>
GALT INVESTMENT	041	RRGB	B	25,000	19.00	n/a	n/a	1,000.00	4.0
COHE & STEERS	041	RYN	B	43,307	43.95	n/a	28-Jun	1,732.28	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	SAH	SS	4,000	8.67	n/a	n/a	240.00	6.0
GALT INVESTMENT	041	SHOO	B	8,906	31.25	n/a	n/a	445.30	5.0
BUCK CAPITAL MGMT	001	SIG	S	40,000	27.37	n/a	n/a	1,600.00	4.0
IVORY CAPITAL	034	SPY	C	582,007	102.68	n/a	n/a	2,910.04	0.5
BUCK CAPITAL MGMT	001	STT	B	20,000	32.65	n/a	25-Jun	800.00	4.0
GALT INVESTMENT	041	TLB	B	25,000	10.04	n/a	n/a	1,000.00	4.0
EMERSON CAPITAL MGMT	048	WEN	S	15,000	3.97	n/a	11-Jun	750.00	5.0
ROYCE TRADING	012	WFR	B	10,800	9.68	n/a	n/a	540.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	15,000	35.48	n/a	14-May	600.00	4.0
JP MORGAN VENTURES	046	YUM	S	30,000	39.00	n/a	15-Apr	1,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>72,989.89</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/01	ROSEDALE CAPITAL (ROSEGS)	046	AXL	B	50,000	6.72	n/a	3-May	2500.00 5.0
AO,CRT	07/01	ROSEDALE CAPITAL (ROSEGS)	046	AXL	B	50,000	6.72	n/a	3-May	2000.00 4.0
AO,CXL	06/30	CAVU CAP ADV (CAVUCREDIS)	028	CPB	B	10,832	35.66	n/a	n/a	541.60 5.0
AO,	06/30	CAVU CAP ADV (CAVUCREDIS)	028	CPB	B	10,832	35.94	n/a	n/a	541.60 5.0
AO,CXL	06/29	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	LPX	B	150,500	6.86	n/a	29-Jun	4515.00 3.0
AO,CRT	06/29	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	LPX	B	150,500	6.86	n/a	29-Jun	6020.00 4.0
AO,	07/01	MADISON ST PARTNERS LLC (MADIJPM)	046	TIF	B	368	38.10	n/a	n/a	18.40 5.0
AO,CXL	07/01	MADISON ST PARTNERS LLC (MADIGS)	046	TIF	B	25,000	38.10	n/a	n/a	1250.00 5.0
AO,CRT	07/01	MADISON ST PARTNERS LLC (MADIGS)	046	TIF	B	24,632	38.10	n/a	n/a	1231.60 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,005.00</b>
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>73,994.89</b>
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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