



Daily Compliance Activity Report

Trade Date: 10/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUSS CAPITAL	025	ADM	S	5,000	33.42	n/a	20-Sep	150.00	3.0
FIRST NY SEC/CHRIS	041	AGCO	SS	15,000	42.95	n/a	28-Jul	750.00	5.0
MERRILL ASSET/BLACKROCK	266	AGCO	S	43,100	42.56	n/a	28-Jul	1,724.00	4.0
ADAGE CAPITAL MGMT	030	ANF	B	200,000	42.68	n/a	8-Oct	6,000.00	3.0
METROPOLITAN CAPITAL	044	ANF	SS	9,000	42.31	n/a	8-Oct	450.00	5.0
MILLRACE FUND LP	028	AXL	SS	50,000	8.92	n/a	4-Aug	1,500.00	3.0
MILLRACE FUND LP	028	AXL	S	26,300	8.80	n/a	4-Aug	789.00	3.0
PATTEN & PATTEN	067	BAB	B	75	26.80	n/a	n/a	3.75	5.0
Õ Doug Rogers		BAC.C	B	20	25.1700	n/a	n/a	0.00	0.0
Õ Doug Rogers		BAC.C	B	21	25.1800	n/a	n/a	0.00	0.0
Õ Doug Rogers		BAC.C	B	68	25.1300	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BBY	B	10,000	40.89	n/a	n/a	400.00	4.0
WEISS PECK	040	BEAV	S	20,580	32.37	n/a	7-Oct	1,029.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.18	n/a	n/a	800.00	4.0
MILLENIU SUB A/C NEW VERNON085		BUD	B	20,000	61.57	n/a	15-Sep	800.00	4.0
CIRCLE T/SES PART	035	BYD	S	25,000	8.35	n/a	n/a	1,000.00	4.0
CIRCLE T/SES PART	035	BYI	B	10,000	34.38	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	BZ	B	50,000	6.68	n/a	n/a	2,500.00	5.0
SCOPIA CAPITAL	048	CCK	S	50,000	28.55	n/a	n/a	2,000.00	4.0
CATAPULT	040	CE	B	10,000	33.99	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	CMI	S	15,400	93.32	n/a	28-Jul	616.00	4.0
CATAPULT	040	CPO	SS	25,000	37.69	n/a	n/a	1,000.00	4.0
ROTHSCHILD ASSET	040	CRI	S	9,658	26.71	n/a	n/a	386.32	4.0
CAVU CAP ADV	028	CROX	S	25,000	14.57	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	CSJ	S	100	105.16	n/a	n/a	5.00	5.0
THIRD COAST CAPITAL	035	CVGI	B	10,000	10.49	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	030	DAN	S	10,000	13.24	n/a	2-Aug	500.00	5.0
DIAMONDBACK CAP MGMT	232	DFS	SS	10,000	16.96	n/a	7-Oct	500.00	5.0
EPOCH INV MGMT	030	DVN	B	105,300	66.76	n/a	30-Sep	3,159.00	3.0
PATTEN & PATTEN	067	EPP	B	50	46.11	n/a	n/a	2.50	5.0
BUCK CAPITAL MGMT	001	ETH	B	40,000	18.65	n/a	n/a	1,600.00	4.0
MERRILL ASSET/BLACKROCK	266	FCX	S	6,200	95.56	n/a	n/a	248.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	FDO	SS	20,000	45.78	n/a	7-Oct	1,000.00	5.0
LATEFF MGMT	035	F	S	2,500	13.51	n/a	4-Oct	250.00	10.0
OZ MGMT	040	F	C	236,933	13.71	n/a	4-Oct	7,107.99	3.0
SLS CAPITAL LLC	224	F	B	207,000	13.39	n/a	4-Oct	8,280.00	4.0
PATTEN & PATTEN	067	GVI	B	30	111.21	n/a	n/a	1.50	5.0
COUGAR TRADING	044	GYMB	B	10,000	53.39	n/a	8-Oct	500.00	5.0
COUGAR TRADING	044	GYMB	SS	10,000	52.85	n/a	8-Oct	500.00	5.0
ROARING BLUE LION MGMT	012	GYMB	S	1,200	52.96	n/a	8-Oct	48.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	B	25,000	53.36	n/a	8-Oct	875.00	3.5
MERRILL ASSET/BLACKROCK	266	HTZ	B	65,220	10.05	n/a	n/a	2,608.80	4.0
CIRCLE T/SES PART	035	IGT	S	25,000	14.16	n/a	5-Oct	1,000.00	4.0
TALKOT CAPITAL LLC	084	IP	B	20,000	22.20	n/a	7-Oct	800.00	4.0
Õ Ravi Sadarangani		JBSS	S	1000	13.7900	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	34.38	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	100,000	32.85	n/a	8-Oct	4,000.00	4.0
FIRST NY SEC/CHRIS	041	JCP	SS	15,000	33.72	n/a	8-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	JNY	S	70,000	20.31	n/a	29-Jul	2,800.00	4.0
GCORE MANAGEMENT	041	KO	SS	25,000	59.33	n/a	22-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	KR	B	25,000	21.17	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	KSS	B	25,000	53.97	n/a	1-Oct	1,000.00	4.0
PERRY PARTNERS	085	LPS	S	100,000	26.70	n/a	n/a	5,000.00	5.0
NUMERIC	060	LTD	S	82,100	28.90	n/a	n/a	2,463.00	3.0
SONTERRA CAP	041	MMM	SS	40,000	88.82	n/a	17-Sep	1,600.00	4.0
CENTURION PARTNERS	041	MMR	S	45,000	18.35	n/a	n/a	1,800.00	4.0
PZENA INV ADV	044	MS	B	11,050	25.28	n/a	8-Oct	386.75	3.5
BALYASNY ASSET MGMT	044	MTB	B	25,000	76.87	n/a	n/a	1,250.00	5.0
SAC CAPITAL/M GRONET	030	M	S	10,000	24.04	n/a	1-Oct	350.00	3.5
DAVIDSON KEMPNER ADVISOR	040	NCR	S	20,000	13.68	n/a	n/a	1,000.00	5.0
PIONEER PATH	226	OMX	B	14,200	14.22	n/a	n/a	426.00	3.0
OSS CAPITAL	067	PBI	SS	25,000	21.87	n/a	n/a	750.00	3.0
HARBORWATCH/DIAMBACK	232	POT	B	5,000	144.48	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	PX	B	20	90.68	n/a	23-Aug	1.00	5.0
PATTEN & PATTEN	067	QCOM	B	25	44.77	n/a	n/a	1.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	SBUX	B	25,000	26.15	n/a	29-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	24.59	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	SRZ	B	266	3.75	n/a	n/a	13.30	5.0
BMO NESBITT BURNS	041	SSCC	S	5,000	20.03	n/a	7-Oct	500.00	10.0
CAVU CAP ADV	028	STX	B	35,000	12.30	n/a	n/a	1,750.00	5.0
MERRILL ASSET/BLACKROCK	266	TEX	S	68,710	24.49	n/a	23-Jul	2,748.40	4.0
CATAPULT	040	TYC	B	25,000	37.47	n/a	18-Aug	1,000.00	4.0
CAVU CAP ADV	028	URBN	SS	30,000	31.45	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	UTX	B	25	72.91	n/a	n/a	1.25	5.0
PATTEN & PATTEN	067	WY	B	100	15.82	n/a	26-Aug	5.00	5.0
TOTAL (Trade Date) :								90,129.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/07	SCOPIA CAPITAL (SCOASTATE)	048	CCK	S	2,782	29.04	n/a	n/a	111.28 4.0
AO,CXL	10/07	SCOPIA CAPITAL (SCOAGSBULK)	048	CCK	S	2,782	29.04	n/a	n/a	111.28 4.0
CRT	10/08	TALKOT CAPITAL LLC (TALKJEFF)	084	IP	B	20,000	22.20	n/a	7-Oct	800.00 4.0

TOTAL (AO, CXL, CRT) :	800.00
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TOTAL (Trade Date) :	90,129.81
TOTAL (AO, CXL, CRT) :	800.00

TOTAL (RUN DATE) / NFS:	90,929.81
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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