



Daily Compliance Activity Report

Trade Date: 09/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	ACE	S	8,000	57.47	n/a	n/a	320.00	4.0
PATTEN & PATTEN	067	ADBE	B	600	26.77	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	ADSK	S	700	31.66	n/a	n/a	35.00	5.0
KACELA CAPITAL	034	AEO	B	49,800	14.59	n/a	2-Sep	1,992.00	4.0
PATTEN & PATTEN	067	APC	B	700	54.90	n/a	13-Sep	35.00	5.0
THE JAY GOLDMAN	028	ARO	S	50,000	22.99	n/a	2-Sep	2,000.00	4.0
BASIX	033	AXE	B	19,000	49.47	n/a	22-Sep	570.00	3.0
PATTEN & PATTEN	067	BAC	S	600	13.33	n/a	22-Sep	30.00	5.0
PATTEN & PATTEN	067	BDX	S	700	73.44	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	BP	S	700	38.15	n/a	n/a	35.00	5.0
FIRST NEW YORK LEDDY	035	BRCD	B	30,000	6.01	n/a	n/a	1,200.00	4.0
BMO NESBITT BURNS	041	BZ	B	25,000	6.72	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	CAB	B	10,000	17.92	n/a	n/a	400.00	4.0
SURVEYOR CAPITAL	041	CAR	S	25,000	10.63	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	029	CIT	S	700	39.36	n/a	21-Sep	35.00	5.0
TROUBH PART	067	CVS	B	25,000	30.15	n/a	n/a	1,250.00	5.0
ACK ASSET	028	DAN	B	31,300	11.77	n/a	2-Aug	939.00	3.0
TRELLUS PARTNERS LP	028	DAN	S	65,000	11.80	n/a	2-Aug	3,250.00	5.0
PIONEER PATH	226	DECK	B	10,000	46.24	n/a	n/a	300.00	3.0
VISIUM/BALY BOBBY	044	DRI	S	25,000	43.11	n/a	22-Sep	1,250.00	5.0
PATTEN & PATTEN	067	EPP	B	2,100	43.81	n/a	n/a	105.00	5.0
BUCK CAPITAL MGMT	001	ETH	B	20,000	16.30	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	EWC	B	1,900	27.49	n/a	n/a	95.00	5.0
PATTEN & PATTEN	067	EWG	B	400	21.39	n/a	n/a	20.00	5.0
GLOBAL 56 LLC	060	FL	B	2,500	14.39	n/a	20-Aug	125.00	5.0
PATTEN & PATTEN	067	FTR	S	504	8.09	n/a	n/a	25.20	5.0
MILLENIUM PARTNERS	028	F	SS	25,000	12.36	n/a	2-Sep	1,000.00	4.0
SCOPUS FUND	041	F	SS	200,000	12.34	n/a	2-Sep	10,000.00	5.0
SIGMA CAP BOBBY	044	F	SS	100,000	12.34	n/a	2-Sep	3,500.00	3.5
TRELLUS PARTNERS LP	028	F	SS	25,000	12.22	n/a	2-Sep	750.00	3.0
BUCK CAPITAL MGMT	001	GES	S	10,000	37.79	n/a	26-Aug	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	085	IHS	B	4,275	67.01	n/a	n/a	213.75	5.0
PATTEN & PATTEN	067	INTC	B	9,550	19.19	n/a	n/a	477.50	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	21.15	n/a	20-Sep	1,250.00	5.0
MILLENIUM PARTNERS	028	IP	B	20,000	21.08	n/a	20-Sep	800.00	4.0
PATTEN & PATTEN	067	ITT	S	2,300	46.40	n/a	30-Apr	115.00	5.0
MILLENIUM PARTNERS	028	JCI	B	30,000	29.00	n/a	8-Sep	1,200.00	4.0
CATAPULT	040	JPM	S	5,000	39.24	n/a	22-Sep	200.00	4.0
THE JAY GOLDMAN	028	JWN	B	2,400	35.43	n/a	2-Sep	96.00	4.0
KADE CAPITAL LLC	028	KMT	B	10,000	30.78	n/a	30-Jul	500.00	5.0
OZ MGMT	040	KMT	B	75,000	30.59	n/a	30-Jul	2,250.00	3.0
KADE CAPITAL LLC	028	LPX	B	25,000	7.74	n/a	23-Sep	1,000.00	4.0
SURVEYOR CAPITAL	041	LTM	B	10,000	38.42	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	041	MAT	B	10,000	23.16	n/a	n/a	300.00	3.0
ARMATURE CAPITAL	041	MON	B	40,000	53.97	n/a	7-Sep	1,600.00	4.0
SAXON WOODS ADVISORS	242	MSFT	S	25,000	24.43	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	MS	S	1,500	25.11	n/a	22-Sep	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	50,000	22.16	n/a	2-Sep	2,000.00	4.0
SAC CAPITAL/M GRONET	030	M	SS	10,000	22.00	n/a	2-Sep	350.00	3.5
SAXON WOODS ADVISORS	242	NVE	S	20,000	13.00	n/a	n/a	800.00	4.0
WALL STREET CAPITAL	084	ORCL	B	12,000	27.45	n/a	n/a	540.00	4.5
PATTEN & PATTEN	067	PBW	S	1,000	9.34	n/a	n/a	50.00	5.0
VISIUM/BALY BOBBY	044	PFCB	B	20,000	44.66	n/a	16-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	57.45	n/a	9-Sep	800.00	4.0
PATTEN & PATTEN	067	RHHBY	S	500	34.32	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	RIMM	S	200	47.79	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	87.01	n/a	5-Aug	400.00	4.0
PATTEN & PATTEN	067	SE	S	2,000	21.85	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	21.86	n/a	n/a	800.00	4.0
KACELA CAPITAL	034	TGT	SS	18,000	53.72	n/a	2-Sep	720.00	4.0
PIONEER PATH	226	TLAB	S	50,000	7.59	n/a	n/a	1,500.00	3.0
KACELA CAPITAL	034	TOL	SS	18,000	18.21	n/a	n/a	720.00	4.0
SURVEYOR CAPITAL	041	TPX	B	20,000	29.41	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	TSCO	B	500	38.32	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	TXN	S	1,400	26.02	n/a	n/a	70.00	5.0
SONTERRA CAP	041	URS	SS	2,300	38.09	n/a	n/a	92.00	4.0
PATTEN & PATTEN	067	WMB	S	3,100	18.65	n/a	n/a	155.00	5.0
SURVEYOR CAPITAL	041	WMS	B	30,000	36.97	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	47.01	n/a	6-Aug	2,000.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	30,000	31.06	n/a	n/a	1,200.00	4.0
PATTEN & PATTEN	067	WY	B	19,105	15.88	n/a	26-Aug	955.25	5.0
PATTEN & PATTEN	067	YHOO	S	500	14.16	n/a	n/a	25.00	5.0
TOTAL (Trade Date) :								59,740.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	09/22	LISTED ERR (LISTED ERR)	099	M	S	140,000	21.79	n/a	2-Sep	0.00	0.0
AO,	09/22	LISTED ERR (LISTED ERR)	099	M	SS	140,000	21.79	n/a	2-Sep	0.00	0.0
AO,	09/22	SURVEYOR CAPITAL (SURVCDRGS)	041	M	SS	140,000	21.79	n/a	2-Sep	0.00	0.0
AO,CXL	09/22	CENTURION PARTNERS (CENTBSPT)	041	SLF	B	100	25.70	n/a	n/a	5.00	5.0
AO,CRT	09/22	CENTURION PARTNERS (CENTBSPT)	041	SLF	B	100	25.70	n/a	n/a	4.00	4.0
AO,CXL	09/21	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	T	S	26,981	28.98	n/a	n/a	1349.05	5.0
AO,	09/21	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	T	S	26,981	28.48	n/a	n/a	1349.05	5.0
TOTAL (AO, CXL, CRT) :										-1.00	
TOTAL (Trade Date) :									59,740.70		
TOTAL (AO, CXL, CRT) :									-1.00		
TOTAL (RUN DATE) / NFS :									59,739.70		

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