



## Daily Compliance Activity Report

Trade Date: 06/21/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	AA	SS	30,000	11.80	n/a	n/a	1,200.00	4.0
LAGRANGE CAP ADV	048	ALV	SS	1,000	53.05	n/a	28-Apr	50.00	5.0
CASTLEROCK	040	ANF	SS	81,825	34.71	n/a	4-Jun	3,273.00	4.0
LEVIN CAPITAL STRATEGIES	012	ANF	SS	20,000	34.47	n/a	4-Jun	600.00	3.0
BENNETT LAWRENCE	028	ANN	SS	25,750	19.50	n/a	n/a	1,030.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>19.17</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SNYDER CAPITAL	033	ARO	B	105,400	29.47	n/a	4-Jun	4,216.00	4.0
BARON ASSET MGMT*	012	AXE	B	70,000	47.18	n/a	15-Jun	3,500.00	5.0
ARMATURE CAPITAL	041	AXL	SS	35,000	9.42	n/a	3-May	1,400.00	4.0
LEVIN CAPITAL STRATEGIES	012	BK	S	20,000	26.49	n/a	11-Jun	600.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>B</b>	<b>40,000</b>	<b>11.14</b>	<b>n/a</b>	<b>5-Feb</b>	<b>1,600.00</b>	<b>4.0</b>
BIXBY LLC	070	CNX	B	1,000	39.76	n/a	n/a	40.00	4.0
WAGONHOUND/NIC	048	CVGI	S	9,100	12.48	n/a	n/a	364.00	4.0
WAGONHOUND/NIC	048	DAN	B	14,300	12.08	n/a	30-Apr	572.00	4.0
RBC CAPITAL MARKETS	040	DOW	SS	25,000	26.95	n/a	21-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	DSW	SS	4,501	25.15	n/a	11-Jun	180.04	4.0
LAGRANGE CAP ADV	048	FII	B	20,000	22.13	n/a	2-Mar	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	FIS	S	15,000	27.61	n/a	n/a	450.00	3.0
OZ MGMT	040	F	B	300,000	11.68	n/a	3-Jun	9,000.00	3.0
SCOPUS FUND	041	F	SS	50,000	11.70	n/a	3-Jun	2,500.00	5.0
PAW PARTNERS	025	GLW	S	10,000	18.38	n/a	9-Jun	500.00	5.0
BENNETT LAWRENCE	028	HGG	S	4,650	25.62	n/a	n/a	186.00	4.0
LEVIN CAPITAL STRATEGIES	012	IBM	S	12,500	131.11	n/a	n/a	375.00	3.0
NCM CAPITAL MGMT	035	JWA	B	8,273	40.39	n/a	n/a	330.92	4.0
ASCEND PARTNERS	033	KSS	B	25,000	51.84	n/a	4-Jun	1,250.00	5.0
STERLING JOHNSTON	035	LAZ	S	5,250	30.75	n/a	11-Jun	210.00	4.0
CASTLEROCK	040	LVS	S	104,953	27.00	n/a	21-Jun	4,198.12	4.0
LEVIN CAPITAL STRATEGIES	012	MET	S	15,000	41.35	n/a	n/a	450.00	3.0
GREEN ARROW DOUG	040	MPEL	S	50,000	4.51	n/a	21-Jun	2,500.00	5.0
ASCEND PARTNERS	033	M	B	50,000	20.69	n/a	4-Jun	2,500.00	5.0
BALYASNY ASSET MGMT	044	M	S	30,000	20.67	n/a	4-Jun	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAW PARTNERS	025	PMTI	S	10,000	11.98	n/a	n/a	500.00	5.0
BIXBY LLC	070	QLGC	S	2,000	18.18	n/a	n/a	80.00	4.0
CATAPULT	040	RDSA	SS	25,000	54.64	n/a	n/a	1,250.00	5.0
LAGRANGE CAP ADV	048	SAH	B	30,000	8.97	n/a	n/a	1,500.00	5.0
ASCEND PARTNERS	033	SPY	C	25,000	111.12	n/a	n/a	750.00	3.0
GREEN ARROW DOUG	040	SYI	SS	40,000	31.07	n/a	n/a	2,000.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	100,400	23.84	n/a	21-Apr	4,016.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>50,000</b>	<b>11.89</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
PAW PARTNERS	025	UA	S	5,000	36.62	n/a	28-Apr	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	WMB	S	20,000	21.23	n/a	n/a	600.00	3.0
BIXBY LLC	070	WPI	S	1,000	43.41	n/a	21-Jun	40.00	4.0
PAW PARTNERS	025	WTS	SS	5,000	30.78	n/a	n/a	250.00	5.0
COHE & STEERS	041	WY	S	144,556	39.94	n/a	27-May	5,782.24	4.0
RBC CAPITAL MARKETS	040	WY	SS	20,000	39.80	n/a	27-May	800.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	100,000	43.29	n/a	15-Apr	5,000.00	5.0

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**TOTAL (Trade Date):**

**72,193.32**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/18	EXIS CAPITAL (EXISDEUTC)	044	ARO	B	6,300	29.70	n/a	4-Jun	315.00 5.0
AO,	06/18	EXIS CAPITAL (EXISOPUSGS)	044	ARO	B	3,700	29.70	n/a	4-Jun	185.00 5.0
AO,CXL	06/18	CONIFER/ISF (CONIISFRIP)	025	DOW	S	2,500	26.89	n/a	21-May	100.00 4.0
AO,CRT	06/18	CONIFER/ISF (CONIISFRIP)	025	DOW	S	2,500	26.89	n/a	21-May	125.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>525.00</b>

TOTAL (Trade Date) :	72,193.32
TOTAL (AO, CXL, CRT) :	525.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>72,718.32</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