



Daily Compliance Activity Report

Trade Date: 09/17/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	AA	SS	150,000	11.19	n/a	n/a	7,500.00	5.0
HARBORWATCH/DIAMBACK	232	AGU	B	15,000	74.73	n/a	n/a	750.00	5.0
PIONEER PATH	226	BJ	B	15,000	43.09	n/a	n/a	450.00	3.0
CATAPULT	040	CCK	SS	5,000	28.65	n/a	n/a	250.00	5.0
PZENA INV ADV	044	CNW	B	22,375	29.04	n/a	n/a	783.20	3.5
PDY1	044	CNW	B	25	29.04	n/a	n/a	0.88	3.5
SOROS	036	CPN	C	75,000	12.67	n/a	n/a	3,000.00	4.0
SOROS	036	DAL	B	50,000	11.36	n/a	n/a	2,000.00	4.0
ACK ASSET	028	DAN	B	32,000	11.11	n/a	2-Aug	960.00	3.0
CATAPULT	040	DD	SS	10,000	44.09	n/a	24-Aug	500.00	5.0
GREEN ARROW DOUG	040	DKS	SS	20,000	27.33	n/a	19-Aug	1,000.00	5.0
CATAPULT	040	DOW	SS	5,000	26.68	n/a	24-Aug	250.00	5.0
JET CAPITAL/CHRIS	041	DYN	S	25,000	4.79	n/a	n/a	750.00	3.0
BENCHMARK	025	ECOL	B	10,000	14.51	n/a	n/a	400.00	4.0
VISIUM/BALY BOBBY	044	FDO	SS	10,000	43.36	n/a	17-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	FMCN	B	21,500	21.76	n/a	n/a	860.00	4.0
METROPOLITAN CAPITAL	044	GSM	S	14,500	13.09	n/a	n/a	725.00	5.0
PZENA INV ADV	044	GS	B	2,125	151.95	n/a	15-Sep	74.40	3.5
SOROS	036	HAL	S	50,000	30.68	n/a	n/a	2,000.00	4.0
SCOPUS FUND	041	HBI	SS	25,000	25.77	n/a	11-Aug	1,250.00	5.0
CATAPULT	040	HON	B	25,000	43.86	n/a	18-Aug	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	HPQ	S	189,100	40.05	n/a	n/a	7,564.00	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	23.40	n/a	26-Aug	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	23.46	n/a	26-Aug	1,250.00	5.0
KARSCH CAPITAL	034	IWM	SS	219,900	65.17	n/a	n/a	4,398.00	2.0
KACELA CAPITAL	034	JCG	SS	20,000	33.84	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	KR	B	10,000	21.64	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	LIZ	S	25,000	5.44	n/a	7-Oct	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	26,659	7.42	n/a	26-Aug	667.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	13,341	7.48	n/a	26-Aug	1,335.00	0.0
GALT INVESTMENT	041	LULU	S	15,000	44.01	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	MHK	B	5,000	49.23	n/a	n/a	250.00	5.0
HIGHFIELDS CAP MGMT	030	NG	B	100,000	8.72	n/a	n/a	5,000.00	5.0
CATAPULT	040	NUE	SS	10,000	38.84	n/a	n/a	500.00	5.0
CATAPULT	040	OMG	B	5,000	30.01	n/a	n/a	250.00	5.0
NICOLAS APPEGATE	084	ORCL	B	201,400	26.91	n/a	n/a	4,028.00	2.0
ADALY INV MGMT	031	PAG	B	10,100	12.00	n/a	4-Aug	404.00	4.0
MERRILL ASSET/BLACKROCK	266	PJC	B	9,600	30.00	n/a	n/a	384.00	4.0
KACELA CAPITAL	034	PVH	B	17,000	58.16	n/a	9-Sep	680.00	4.0
PIONEER MICHAEL NOLAN	067	PWER	S	1,100	8.30	n/a	n/a	33.00	3.0
WADDELL AND REED	047	QCOM	B	636,950	42.62	n/a	n/a	25,478.00	4.0
GREEN ARROW DOUG	040	RL	SS	10,000	87.23	n/a	5-Aug	500.00	5.0
T. ROWE PRICE	033	RL	B	29,100	87.44	n/a	5-Aug	1,164.00	4.0
COHE & STEERS	041	RYN	S	31,000	49.65	n/a	26-Aug	1,240.00	4.0
CATAPULT	040	SHLM	B	6,000	19.54	n/a	n/a	300.00	5.0
CATAPULT	040	SHW	SS	5,000	72.17	n/a	1-Sep	250.00	5.0
WAGONHOUND/NIC	289	SLM	S	11,050	11.74	n/a	17-Sep	442.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	034	SSCC	B	5,000	20.18	n/a	26-Aug	200.00	4.0
AVESTA CAP	229	TGT	S	50,000	53.82	n/a	2-Sep	1,500.00	3.0
SAGE ASSET MGMT	012	TIN	B	27,900	19.75	n/a	26-Aug	1,395.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TLB	SS	50,000	11.56	n/a	n/a	1,750.00	3.5
SCOPUS FUND	041	TRW	B	6,500	36.13	n/a	n/a	325.00	5.0
NOMURA CAPITAL	029	WINN	S	5,156	6.96	n/a	n/a	154.68	3.0
SANDLER CAPITAL	226	WLT	B	25,000	80.21	n/a	n/a	1,500.00	6.0
SOROS	036	WNR	C	75,000	5.02	n/a	n/a	2,250.00	3.0
ASCEND PARTNERS	033	WYNN	S	10,000	90.70	n/a	10-Sep	500.00	5.0
KARSCH CAPITAL	034	XRT	C	150,000	40.38	n/a	n/a	3,000.00	2.0
TOTAL (Trade Date) :								99,745.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	AMTD	SS	128,000	15.54	n/a	n/a	4480.00 3.5
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	AMTD	SS	128,000	15.54	n/a	n/a	5120.00 4.0
AO,	09/16	DAVIDSON KEMPNER ADVISOR (DAVISB)	040	FCX	B	700	82.16	n/a	n/a	35.00 5.0
AO,CXL	09/16	DAVIDSON KEMPNER ADVISOR (DAVIBARC)	040	FCX	B	50,000	82.16	n/a	n/a	2500.00 5.0
AO,	09/16	DAVIDSON KEMPNER ADVISOR (DAVIBARC)	040	FCX	B	49,300	82.16	n/a	n/a	2465.00 5.0
AO,CXL	09/16	SCOPUS FUND (SCOPGS)	041	FINL	B	1,176	15.41	n/a	n/a	58.80 5.0
AO,CRT	09/16	SCOPUS FUND (SCOPGS)	041	FINL	B	1,344	15.41	n/a	n/a	67.20 5.0
AO,CXL	09/16	SCOPUS FUND (SCOPUBS)	041	FINL	B	15,624	15.41	n/a	n/a	781.20 5.0
AO,CRT	09/16	SCOPUS FUND (SCOPUBS)	041	FINL	B	15,456	15.41	n/a	n/a	772.80 5.0
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	GS	SS	13,000	151.88	n/a	15-Sep	455.00 3.5
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	GS	SS	13,000	151.88	n/a	15-Sep	520.00 4.0
AO,CXL	09/16	SCOPUS FUND (SCOPGS)	041	SKS	B	1,185	8.58	n/a	n/a	59.25 5.0
AO,CRT	09/16	SCOPUS FUND (SCOPGS)	041	SKS	B	593	8.58	n/a	n/a	29.65 5.0
AO,CXL	09/16	SCOPUS FUND (SCOPUBS)	041	SKS	B	6,223	8.58	n/a	n/a	311.15 5.0
AO,CRT	09/16	SCOPUS FUND (SCOPUBS)	041	SKS	B	6,815	8.58	n/a	n/a	340.75 5.0
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	USB	SS	178,000	22.51	n/a	n/a	6230.00 3.5
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC (PARACSPB)	044	USB	SS	178,000	22.51	n/a	n/a	7120.00 4.0
AO,CXL	09/16	ONE EAST CAP ADV LP (ONEEGS)	048	YHOO	S	15,000	14.12	n/a	n/a	0.00 0.0
AO,CRT	09/16	ONE EAST CAP ADV LP (ONEEGS)	048	YHOO	S	15,000	14.12	n/a	n/a	600.00 4.0
TOTAL (AO, CXL, CRT) :										2,195.00

TOTAL (Trade Date):	99,745.16
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TOTAL (RUN DATE) / NFS:	101,940.16
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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