



Daily Compliance Activity Report

Trade Date: 07/07/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	AVGO	B	20,000	21.48	n/a	n/a	1,000.00	5.0
SAXON WOODS ADVISORS	242	BEBE	B	200,000	6.82	n/a	n/a	6,000.00	3.0
MTB INV ADV	034	BID	S	6,225	23.34	n/a	n/a	311.25	5.0
ROYCE TRADING	012	BKD	S	500	14.09	n/a	n/a	25.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	15,000	6.04	n/a	n/a	600.00	4.0
CAPITAL GROWTH MGMT.	241	BWA	B	30,000	37.75	n/a	30-Apr	1,500.00	5.0
SCOPUS FUND	041	BWA	B	25,000	37.96	n/a	30-Apr	1,250.00	5.0
ROYCE TRADING	012	BWS	S	12,000	13.83	n/a	n/a	600.00	5.0
ROYCE TRADING	012	BZ	S	8,000	4.92	n/a	n/a	240.00	3.0
BNP PARIBAS SEC	040	CAT	S	5,000	61.13	n/a	12-May	200.00	4.0
BROADARCH CAP/OLD NEWC	070	CBE	B	3,200	44.16	n/a	27-May	128.00	4.0
COLUMBIA PARTNERS	028	CFSG	S	17,793	8.44	n/a	n/a	533.79	3.0
SCOUT/UMB	047	CF	B	13,325	69.69	n/a	n/a	666.25	5.0
SCMB	047	CF	B	1,675	69.69	n/a	n/a	83.75	5.0
BUCK CAPITAL MGMT	001	CHS	B	50,000	10.21	n/a	5-Feb	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	CLF	B	20,000	48.13	n/a	n/a	1,000.00	5.0
THE JAY GOLDMAN	028	CMG	SS	10,000	134.96	n/a	22-Apr	400.00	4.0
EPOCH INV MGMT	030	CMS	S	7,500	15.03	n/a	n/a	225.00	3.0
EPOCH INV MGMT	030	CNW	S	1,350	30.00	n/a	n/a	40.50	3.0
SONICA CAPITAL LLC	025	COST	SS	5,500	54.23	n/a	n/a	165.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,500	79.95	n/a	6-Jul	180.00	4.0
ROYCE TRADING	012	CR	S	10,000	29.24	n/a	n/a	500.00	5.0
COBALT	041	CSCO	B	100,000	22.06	n/a	n/a	5,000.00	5.0
ROYCE TRADING	012	CTS	S	5,000	9.05	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	C	B	50,000	3.90	n/a	6-Jul	1,000.00	2.0
MTB INV ADV	034	DHX	S	5,000	6.85	n/a	n/a	150.00	3.0
PARTNER REINSURANCE	033	DLTR	B	11,800	41.62	n/a	6-Jul	472.00	4.0
SCOUT/UMB	047	DLTR	S	37,650	41.50	n/a	6-Jul	1,882.50	5.0
SCMB	047	DLTR	S	5,350	41.50	n/a	6-Jul	267.50	5.0
EPOCH INV MGMT	030	DRC	S	2,050	31.11	n/a	n/a	61.50	3.0
BNP PARIBAS SEC	040	ETN	B	15,000	64.71	n/a	27-May	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	FDO	B	200,000	36.85	n/a	7-Jul	6,000.00	3.0
SCOUT/UMB	047	FDO	S	21,125	36.14	n/a	7-Jul	1,056.25	5.0
SCMB	047	FDO	S	2,875	36.14	n/a	7-Jul	143.75	5.0
BUCK CAPITAL MGMT	001	FL	B	20,000	12.98	n/a	16-Jun	800.00	4.0
WOOSTER CAPITAL	035	F	B	50,000	10.47	n/a	7-Jul	2,500.00	5.0
ROYCE TRADING	012	GCO	S	10,000	25.05	n/a	n/a	500.00	5.0
ROYCE TRADING	012	GDI	S	5,500	44.58	n/a	n/a	275.00	5.0
BNP PARIBAS SEC	040	GE	S	18,000	14.33	n/a	n/a	720.00	4.0
ROYCE TRADING	012	GFF	S	5,000	10.49	n/a	n/a	250.00	5.0
SONTERRA CAP	041	GGB	SS	100,000	13.50	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	24.31	n/a	14-May	800.00	4.0
CIRCLE T/SES PART	035	HTZ	S	5,000	9.34	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	ICON	S	6,700	13.67	n/a	n/a	201.00	3.0
WHITE PINE CAPITAL	030	IFF	S	1,725	42.97	n/a	10-May	86.25	5.0
EPOCH INV MGMT	030	ISBC	S	9,300	12.89	n/a	n/a	279.00	3.0
BUCK CAPITAL MGMT	001	JAH	B	20,000	26.87	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	B	30,000	14.80	n/a	14-May	1,200.00	4.0
BENCHMARK	025	JWN	B	2,500	33.17	n/a	30-Jun	125.00	5.0
LOMBARDIA CAP MGMT	048	KCG	B	11,803	13.54	n/a	n/a	565.59	4.9
THE JAY GOLDMAN	028	KSS	SS	10,000	48.53	n/a	30-Jun	400.00	4.0
T. ROWE PRICE	033	LPX	B	159,427	6.72	n/a	29-Jun	3,188.54	2.0
THE JAY GOLDMAN	028	MCD	B	22,500	66.23	n/a	8-Jun	900.00	4.0
JET CAPITAL/CHRIS	041	MDR	B	50,000	22.73	n/a	n/a	1,500.00	3.0
JET CAPITAL/CHRIS	041	MDR	S	25,000	23.03	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	MFB	B	10,000	19.12	n/a	n/a	400.00	4.0
Õ Ravi Sadarangani		MTW	B	200	9.3200	n/a	30-Apr	0.00	0.0
Õ Ravi Sadarangani		MTW	B	500	9.3200	n/a	30-Apr	0.00	0.0
DELTEC ASSET MGMT.	040	M	B	10,000	17.62	n/a	30-Jun	500.00	5.0
SAC CHICAGO ANDREW	031	M	B	25,000	17.54	n/a	30-Jun	875.00	3.5
BUCK CAPITAL MGMT	001	NWY	B	20,000	2.36	n/a	n/a	600.00	3.0
AELTUS/ING INVESTMENT MGT	215	OMX	B	33,800	13.00	n/a	n/a	1,183.00	3.5
LAGRANGE CAP ADV	048	PAG	B	12,435	11.10	n/a	3-May	621.75	5.0
Õ Ravi Sadarangani		PTEN	S	100	14.2900	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	PVH	B	3,000	44.08	n/a	26-May	150.00	5.0
LOMBARDIA CAP MGMT	048	RHB	B	10,202	20.51	n/a	n/a	489.44	4.9
Õ Ravi Sadarangani		RMBS	S	100	17.7300	n/a	n/a	0.00	0.0
SCOUT/UMB	047	RPM	S	54,900	17.89	n/a	n/a	1,647.00	3.0
BNP PARIBAS SEC	040	RTN	S	5,000	48.07	n/a	23-Apr	200.00	4.0
MFP INVESTORS	085	RUTH	B	7,500	3.80	n/a	n/a	225.00	3.0
LOMBARDIA CAP MGMT	048	SKYW	S	11,965	11.43	n/a	n/a	574.03	4.9
GREEN ARROW DOUG	040	SPLS	B	25,000	19.22	n/a	n/a	1,250.00	5.0
EMERSON CAPITAL MGMT	048	SWM	S	6,100	49.64	n/a	n/a	305.00	5.0
BROADARCH CAP/OLD NEWC	070	TGT	B	2,000	50.23	n/a	30-Jun	80.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	49.79	n/a	30-Jun	875.00	3.5
WHITE PINE CAPITAL	030	UNT	S	8,100	41.02	n/a	6-Jul	405.00	5.0
LOMBARDIA CAP MGMT	048	UTEK	S	17,722	15.72	n/a	n/a	850.20	4.9
WHITE PINE CAPITAL	030	WDR	S	1,100	23.24	n/a	2-Mar	55.00	5.0
Õ Ravi Sadarangani		WNC	B	1000	6.8900	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		WNC	B	100	6.8900	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Ravi Sadarangani		WNC	B	100	6.9100	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		WNC	B	100	6.9100	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		WNC	B	500	6.9000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WWW	B	10,000	25.32	n/a	n/a	400.00	4.0
COHE & STEERS	041	WY	S	257,226	35.36	n/a	28-Jun	10,289.04	4.0
TOTAL (Trade Date):								76,546.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/06	COOPER CREEK PART (COOPJPM)	028	AXL	B	1,593	7.29	n/a	7-Jul	79.65 5.0
AO,CRT	07/06	COOPER CREEK PART (COOPJPM)	028	AXL	B	1,593	7.29	n/a	7-Jul	47.79 3.0
AO,CXL	07/06	COOPER CREEK PART (COOPGS)	028	AXL	B	23,407	7.29	n/a	7-Jul	1170.35 5.0
AO,CRT	07/06	COOPER CREEK PART (COOPGS)	028	AXL	B	23,407	7.29	n/a	7-Jul	702.21 3.0
AO,	07/06	CASTLEROCK (CASTDBPB)	040	DECK	B	2,745	44.32	n/a	n/a	109.80 4.0
AO,	07/06	CASTLEROCK (CASTMERRIL)	040	DECK	B	6,840	44.32	n/a	n/a	273.60 4.0
AO,	07/06	CASTLEROCK (CASTUBS)	040	DECK	B	19,911	44.32	n/a	n/a	796.44 4.0
AO,CXL	07/02	SENVEST PART (SENVBARCLE)	085	FOR	S	50,000	17.70	n/a	28-Jun	2500.00 5.0
AO,CRT	07/02	SENVEST PART (SENVGS)	085	FOR	S	50,000	17.70	n/a	28-Jun	2500.00 5.0
AO,CXL	07/06	EXIS CAPITAL (EXISDEUTC)	044	JAH	S	1,900	26.50	n/a	n/a	95.00 5.0
AO,CRT	07/06	EXIS CAPITAL (EXISOPUSGS)	044	JAH	S	1,900	26.50	n/a	n/a	95.00 5.0

TOTAL (AO, CXL, CRT) :**679.84**

TOTAL (Trade Date) :**76,546.88****TOTAL (AO, CXL, CRT) :****679.84**

TOTAL (RUN DATE) / NFS :**77,226.72**

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