



## Daily Compliance Activity Report

Trade Date: 06/08/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	AA	C	46,000	10.59	n/a	n/a	2,300.00	5.0
WINSLOW CAPITAL	030	ADSK	B	1,000	26.17	n/a	n/a	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>166,000</b>	<b>12.01</b>	<b>n/a</b>	<b>4-Jun</b>	<b>6,640.00</b>	<b>4.0</b>
EXIS CAPITAL	044	AEO	B	25,000	12.02	n/a	4-Jun	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>50,000</b>	<b>19.09</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	APD	B	600	65.81	n/a	10-May	30.00	5.0
GREEN ARROW DOUG	040	ARM	B	10,000	13.93	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	AVP	B	60,000	26.52	n/a	28-May	3,000.00	5.0
BENCHMARK	025	BRS	B	7,500	31.19	n/a	n/a	300.00	4.0
PATTEN & PATTEN	067	CAT	S	300	55.92	n/a	12-May	15.00	5.0
EXIS CAPITAL	044	CHRS	B	20,000	3.80	n/a	n/a	1,000.00	5.0
SCOUT/UMB	047	CLX	B	5,000	63.15	n/a	6-May	250.00	5.0
MTB INV ADV	034	CNK	S	31,100	14.38	n/a	n/a	1,555.00	5.0
WINSLOW CAPITAL	030	CSCO	B	3,100	22.75	n/a	n/a	124.00	4.0
WINSLOW CAPITAL	030	CTSH	B	2,000	49.55	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	C	B	100,000	3.70	n/a	7-Jun	2,000.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>50,000</b>	<b>24.18</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	DNN	S	4,000	1.31	n/a	n/a	200.00	5.0
WINSLOW CAPITAL	030	DRC	B	1,000	32.35	n/a	n/a	40.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EFA	B	550,000	46.70	n/a	n/a	22,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>70,000</b>	<b>54.81</b>	<b>n/a</b>	<b>7-Jun</b>	<b>2,800.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	EMC	B	3,700	17.94	n/a	n/a	148.00	4.0
BMO NESBITT BURNS	041	ENDP	B	2,000	20.38	n/a	8-Jun	200.00	10.0
PATTEN & PATTEN	067	EPP	S	950	35.51	n/a	n/a	47.50	5.0
PATTEN & PATTEN	067	ETN	B	1,200	66.72	n/a	27-May	60.00	5.0
PATTEN & PATTEN	067	EWG	B	3,500	18.24	n/a	n/a	175.00	5.0
PATTEN & PATTEN	067	FCX	B	200	60.13	n/a	n/a	10.00	5.0
HARVEST MGMT	029	FL	B	20,000	13.27	n/a	21-May	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	F	C	91,000	11.19	n/a	3-Jun	4,550.00	5.0
SIGMA CAP BOBBY	044	F	B	100,000	11.15	n/a	3-Jun	3,500.00	3.5
ROTHSCHILD ASSET	040	GE	S	66,470	15.33	n/a	n/a	2,658.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	GIL	S	20,200	30.07	n/a	14-May	707.03	3.5
WINSLOW CAPITAL	030	GMCR	B	1,200	22.16	n/a	n/a	48.00	4.0
CAERUS GLOBAL	041	GME	S	15,000	20.57	n/a	n/a	600.00	4.0
ROARING BLUE LION MGMT	012	GYMB	B	2,000	41.88	n/a	4-Jun	80.00	4.0
WINSLOW CAPITAL	030	HPQ	B	2,000	45.81	n/a	n/a	80.00	4.0
CATAPULT	040	HTZ	SS	12,000	9.28	n/a	n/a	480.00	4.0
OVERLAND PARK CAP	041	IGT	B	50,000	18.45	n/a	23-Apr	2,000.00	4.0
PATTEN & PATTEN	067	ITT	S	200	44.27	n/a	30-Apr	10.00	5.0
WINSLOW CAPITAL	030	ITW	B	1,100	43.23	n/a	30-Apr	44.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>20,000</b>	<b>39.75</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	JPM	B	2,100	37.23	n/a	21-May	84.00	4.0
WINSLOW CAPITAL	030	LOW	B	1,100	23.28	n/a	17-May	44.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>30,000</b>	<b>23.68</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
CAERUS GLOBAL	041	MCD	SS	10,000	68.00	n/a	8-Jun	400.00	4.0
WINSLOW CAPITAL	030	MHS	B	1,000	57.82	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MMC	S	1,000	20.31	n/a	n/a	50.00	5.0
CAVU CAP ADV	028	MMM	B	40,000	73.91	n/a	10-May	2,000.00	5.0
KLEINHEINZ CAP PART	031	MMM	SS	30,000	73.83	n/a	10-May	1,500.00	5.0
WINSLOW CAPITAL	030	MRVL	B	2,100	17.02	n/a	n/a	84.00	4.0
PATTEN & PATTEN	067	MS	B	500	24.85	n/a	21-May	25.00	5.0
FEDERATED INV/KAUFMAN	029	MWW	S	64,902	12.37	n/a	n/a	3,569.62	5.5
AVESTA CAP	229	M	B	100,000	20.46	n/a	4-Jun	3,000.00	3.0
BIXBY LLC	070	NBR	B	1,500	20.07	n/a	n/a	75.00	5.0
WINSLOW CAPITAL	030	ORCL	B	2,200	21.58	n/a	n/a	88.00	4.0
BALYASNY ASSET MGMT	044	PAG	B	19,700	12.10	n/a	3-May	985.00	5.0
PATTEN & PATTEN	067	PBW	S	500	8.02	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	PRGO	SS	2,000	57.27	n/a	8-Jun	200.00	10.0
BMO NESBITT BURNS	041	PRX	B	2,000	25.11	n/a	8-Jun	200.00	10.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>40,000</b>	<b>49.54</b>	<b>n/a</b>	<b>26-May</b>	<b>1,600.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	QCOM	B	1,700	35.06	n/a	n/a	68.00	4.0
PATTEN & PATTEN	067	RHHBY	B	100	34.08	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	RL	SS	5,400	79.58	n/a	20-May	270.00	5.0
WEISS PECK	040	SCVL	B	34,421	20.45	n/a	n/a	1,721.05	5.0
PATTEN & PATTEN	067	SLB	S	300	54.25	n/a	n/a	15.00	5.0
WINSLOW CAPITAL	030	SLB	B	1,000	54.94	n/a	n/a	40.00	4.0
SOLARIS INV MGMT	029	TAP	B	21,800	42.53	n/a	n/a	1,090.00	5.0
PATTEN & PATTEN	067	TEVA	B	1,900	51.11	n/a	8-Jun	95.00	5.0
WINSLOW CAPITAL	030	TEVA	B	1,000	50.90	n/a	8-Jun	40.00	4.0
CAVU CAP ADV	028	TLB	S	10,000	12.08	n/a	n/a	500.00	5.0
ROYCE TRADING	012	TLB	S	83,400	12.44	n/a	n/a	4,170.00	5.0
COUGAR TRADING	044	TM	B	5,000	70.43	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	UNP	B	1,000	68.71	n/a	n/a	40.00	4.0
SCOUT/UMB	047	UNT	B	35,214	41.95	n/a	3-Jun	1,760.70	5.0
WINSLOW CAPITAL	030	URBN	B	1,400	35.54	n/a	n/a	56.00	4.0
PATTEN & PATTEN	067	V	S	500	71.33	n/a	24-May	25.00	5.0
WINSLOW CAPITAL	030	V	B	1,300	72.35	n/a	24-May	52.00	4.0
BMO NESBITT BURNS	041	WCRX	SS	2,000	22.32	n/a	8-Jun	200.00	10.0
GRYPHON CAPITAL MGMT	084	WDC	S	50,000	33.40	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	WDC	B	500	33.05	n/a	n/a	25.00	5.0
MTB INV ADV	034	WXS	S	5,175	29.33	n/a	n/a	258.75	5.0
COHE & STEERS	041	WY	S	240,400	39.16	n/a	27-May	9,616.00	4.0
BMO NESBITT BURNS	041	XLV	B	4,000	28.39	n/a	n/a	400.00	10.0
SCOPUS FUND	041	YUM	S	63,000	40.05	n/a	15-Apr	3,150.00	5.0
<b>TOTAL (Trade Date):</b>								<b>105,839.45</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/07	CAVU CAP ADV (CAVUCREDIS)	028	X	B	13,412	42.01	n/a	n/a	670.60 5.0
AO,CRT	06/07	CAVU CAP ADV (CAVUCREDIS)	028	X	B	13,442	42.01	n/a	n/a	672.10 5.0
AO,CXL	06/07	CAVU CAP ADV (CAVUMORGAN)	028	X	B	1,588	42.01	n/a	n/a	79.40 5.0
AO,CRT	06/07	CAVU CAP ADV (CAVUMORGAN)	028	X	B	1,558	42.01	n/a	n/a	77.90 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	105,839.45
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>105,839.45</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