



Daily Compliance Activity Report

Trade Date: 06/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	048	ACN	B	10,000	36.76	n/a	n/a	300.00	3.0
GREEN ARROW DOUG	040	AEO	S	25,000	12.48	n/a	4-Jun	1,250.00	5.0
HOOVER INV. MGMT	033	AEO	B	250,000	12.43	n/a	4-Jun	10,000.00	4.0
PATTEN & PATTEN	067	AGN	S	200	58.36	n/a	8-Jun	10.00	5.0
WINSLOW CAPITAL	030	AMT	B	7,400	42.54	n/a	n/a	296.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	34.52	n/a	4-Jun	1,200.00	4.0
EXIS CAPITAL	044	ANF	B	20,000	35.06	n/a	4-Jun	1,000.00	5.0
PATTEN & PATTEN	067	APC	S	200	40.02	n/a	3-Jun	10.00	5.0
EATON VANCE MGMT	048	APD	B	5,000	67.59	n/a	10-May	150.00	3.0
PATTEN & PATTEN	067	APD	B	200	68.43	n/a	10-May	10.00	5.0
EATON VANCE MGMT	048	BA	B	34,699	62.00	n/a	21-May	1,040.97	3.0
EPOCH INV MGMT	030	BA	B	48,600	62.25	n/a	21-May	1,458.00	3.0
EATON VANCE MGMT	048	BHP	B	41,772	62.34	n/a	n/a	1,253.16	3.0
Ö Jill Rosenberg		BP	S	174	29.6100	n/a	n/a	0.00	0.0
WEISS PECK	040	CAKE	C	8,600	24.41	n/a	23-Apr	430.00	5.0
WINSLOW CAPITAL	030	CLF	B	7,400	51.80	n/a	n/a	296.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	CTL	S	225,000	34.12	n/a	n/a	6,750.00	3.0
SCOUT/UMB	047	DBD	B	72,000	27.90	n/a	27-May	2,160.00	3.0
PATTEN & PATTEN	067	DD	S	300	36.07	n/a	9-Jun	15.00	5.0
OHIO PERS	047	DIS	S	45,000	33.33	n/a	n/a	1,350.00	3.0
BUCK CAPITAL MGMT	001	EL	SS	10,000	57.48	n/a	7-Jun	400.00	4.0
BROADARCH CAP/OLD NEWC	070	EMR	SS	1,600	44.54	n/a	n/a	64.00	4.0
CASTLE ARK	031	EMR	S	135,870	44.57	n/a	n/a	8,152.20	6.0
PATTEN & PATTEN	067	EPP	S	225	36.72	n/a	n/a	11.25	5.0
PATTEN & PATTEN	067	ETN	B	1,650	68.32	n/a	27-May	82.50	5.0
PATTEN & PATTEN	067	EWG	B	3,900	18.80	n/a	n/a	195.00	5.0
PATTEN & PATTEN	067	EXC	B	100	38.84	n/a	n/a	5.00	5.0
EATON VANCE MGMT	048	FCX	B	17,430	63.10	n/a	n/a	522.90	3.0
LAGRANGE CAP ADV	048	FII	B	5,000	20.90	n/a	2-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	FL	B	50,000	13.56	n/a	21-May	2,000.00	4.0
PATTEN & PATTEN	067	FPL	B	1,850	48.77	n/a	n/a	92.50	5.0
BUCK CAPITAL MGMT	001	GCO	B	7,500	29.14	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	GD	B	7,440	63.31	n/a	29-Apr	223.20	3.0
RBC CAPITAL MARKETS	040	GPS	B	10,000	21.40	n/a	n/a	400.00	4.0
OZ MGMT	040	HD	SS	75,000	31.98	n/a	19-May	2,250.00	3.0
THIRD COAST CAPITAL	035	HD	S	18,000	32.04	n/a	19-May	900.00	5.0
BUCK CAPITAL MGMT	001	HOT	SS	10,000	46.03	n/a	n/a	400.00	4.0
EATON VANCE MGMT	048	HPQ	B	61,263	45.81	n/a	n/a	1,837.89	3.0
EATON VANCE MGMT	048	IBM	B	5,000	124.72	n/a	n/a	150.00	3.0
EATON VANCE MGMT	048	INTC	B	15,000	20.33	n/a	n/a	450.00	3.0
ROSEDALE CAPITAL	046	INTC	S	10,000	20.42	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	ITT	S	1,700	45.86	n/a	30-Apr	85.00	5.0
PATTEN & PATTEN	067	JNJ	S	1,200	58.51	n/a	n/a	60.00	5.0
EXIS CAPITAL	044	KSS	B	5,000	50.56	n/a	4-Jun	250.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	20,000	1.15	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	S	6,300	24.31	n/a	1-Jun	252.00	4.0
BUCK CAPITAL MGMT	001	LZB	SS	20,000	10.86	n/a	n/a	800.00	4.0
EATON VANCE MGMT	048	MA	B	11,577	196.23	n/a	24-May	347.31	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	MDR	B	100,000	21.95	n/a	n/a	5,000.00	5.0
SAXON WOODS ADVISORS	242	MO	B	350,000	20.21	n/a	n/a	10,500.00	3.0
EATON VANCE MGMT	048	MSFT	B	10,000	25.28	n/a	n/a	300.00	3.0
SAC CAP/ROSEN FOR BOBBY	044	MWW	B	85,000	12.52	n/a	n/a	2,975.00	3.5
BUCK CAPITAL MGMT	001	M	B	20,000	21.11	n/a	4-Jun	800.00	4.0
EXIS CAPITAL	044	M	B	5,000	20.54	n/a	4-Jun	250.00	5.0
CAVU CAP ADV	028	OSK	S	20,000	33.92	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	OXY	B	4,300	80.37	n/a	n/a	172.00	4.0
CIRCLE T/SES PART	035	PAG	S	15,000	12.50	n/a	3-May	600.00	4.0
EATON VANCE MGMT	048	PCAR	B	41,160	40.32	n/a	30-Apr	1,234.80	3.0
CHILTON CAPITAL MGMT.	036	PG	SS	100,000	61.97	n/a	4-Jun	3,000.00	3.0
PATTEN & PATTEN	067	PG	S	200	61.86	n/a	4-Jun	10.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	150,000	18.72	n/a	n/a	6,000.00	4.0
EXIS CAPITAL	044	ROST	SS	12,500	56.19	n/a	n/a	625.00	5.0
WEISS PECK	040	SCVL	B	43,100	21.49	n/a	n/a	2,155.00	5.0
RBC CAPITAL MARKETS	040	SKS	S	50,000	8.22	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	TEN	B	135,070	21.09	n/a	n/a	5,402.80	4.0
PATTEN & PATTEN	067	TEVA	B	1,600	51.84	n/a	8-Jun	80.00	5.0
EXIS CAPITAL	044	TIF	SS	5,000	42.86	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	TJX	SS	25,000	45.64	n/a	4-Jun	1,250.00	5.0
COUGAR TRADING	044	TM	SS	5,000	69.43	n/a	n/a	250.00	5.0
EATON VANCE MGMT	048	TYC	B	5,000	35.37	n/a	3-Jun	150.00	3.0
EATON VANCE MGMT	048	T	B	10,000	25.01	n/a	n/a	300.00	3.0
EXIS CAPITAL	044	UA	B	5,000	32.75	n/a	28-Apr	250.00	5.0
EATON VANCE MGMT	048	UNP	B	16,473	70.68	n/a	n/a	494.19	3.0
SANDLER CAPITAL	226	UNP	B	65,000	70.37	n/a	n/a	3,900.00	6.0
SUN AMERICA ASSET MGMT	030	UNP	B	27,600	70.97	n/a	n/a	1,104.00	4.0
EATON VANCE MGMT	048	UTX	B	10,000	64.13	n/a	n/a	300.00	3.0
CAVU CAP ADV	028	VSH	B	50,000	8.66	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	V	S	400	74.82	n/a	24-May	20.00	5.0
WINSLOW CAPITAL	030	V	B	16,000	74.91	n/a	24-May	640.00	4.0
EXIS CAPITAL	044	WRC	B	15,000	38.65	n/a	14-May	750.00	5.0
WAGONHOUND/NIC	048	XLF	S	18,000	13.98	n/a	n/a	540.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	048	X	B	63,822	42.43	n/a	n/a	1,914.66	3.0
TOTAL (Trade Date):							107,477.33		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/08	MACKLOWE ASSET MGMT (MACKDB)	041	IGT	B	50,000	18.45	n/a	23-Apr	2000.00 4.0
AO,CXL	06/08	OVERLAND PARK CAP (OVERCREDIT)	041	IGT	B	50,000	18.45	n/a	23-Apr	2000.00 4.0
AO,	06/08	ROYCE TRADING (ROYC280)	012	TLB	S	400	12.40	n/a	n/a	20.00 5.0
AO,	06/08	ROYCE TRADING (ROYC280)	012	TLB	S	5,100	12.27	n/a	n/a	255.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC169)	012	TLB	S	100	12.40	n/a	n/a	5.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC169)	012	TLB	S	800	12.27	n/a	n/a	40.00 5.0
AO,	06/08	ROYCE TRADING (ROYC169)	012	TLB	S	1,300	12.44	n/a	n/a	65.00 5.0
AO,	06/08	ROYCE TRADING (ROYC169)	012	TLB	S	200	12.27	n/a	n/a	10.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC59)	012	TLB	S	500	12.40	n/a	n/a	25.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC59)	012	TLB	S	7,500	12.27	n/a	n/a	375.00 5.0
AO,	06/08	ROYCE TRADING (ROYC59)	012	TLB	S	12,300	12.44	n/a	n/a	615.00 5.0
AO,	06/08	ROYCE TRADING (ROYC59)	012	TLB	S	100	12.40	n/a	n/a	5.00 5.0
AO,	06/08	ROYCE TRADING (ROYC59)	012	TLB	S	2,100	12.27	n/a	n/a	105.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC33)	012	TLB	S	100	12.40	n/a	n/a	5.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC33)	012	TLB	S	1,700	12.27	n/a	n/a	85.00 5.0
AO,	06/08	ROYCE TRADING (ROYC33)	012	TLB	S	3,200	12.44	n/a	n/a	160.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC281)	012	TLB	S	4,500	12.44	n/a	n/a	225.00 5.0
AO,	06/08	ROYCE TRADING (ROYC281)	012	TLB	S	3,500	12.44	n/a	n/a	175.00 5.0
AO,	06/08	ROYCE TRADING (ROYC281)	012	TLB	S	500	12.27	n/a	n/a	25.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC286)	012	TLB	S	10,600	12.44	n/a	n/a	530.00 5.0
AO,	06/08	ROYCE TRADING (ROYC286)	012	TLB	S	8,200	12.44	n/a	n/a	410.00 5.0
AO,	06/08	ROYCE TRADING (ROYC286)	012	TLB	S	100	12.40	n/a	n/a	5.00 5.0
AO,	06/08	ROYCE TRADING (ROYC286)	012	TLB	S	1,100	12.27	n/a	n/a	55.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC283)	012	TLB	S	9,700	12.44	n/a	n/a	485.00 5.0
AO,	06/08	ROYCE TRADING (ROYC283)	012	TLB	S	7,500	12.44	n/a	n/a	375.00 5.0
AO,	06/08	ROYCE TRADING (ROYC283)	012	TLB	S	100	12.40	n/a	n/a	5.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/08	ROYCE TRADING (ROYC283)	012	TLB	S	1,000	12.27	n/a	n/a	50.00 5.0
AO,CXL	06/08	ROYCE TRADING (ROYC280)	012	TLB	S	47,900	12.44	n/a	n/a	2395.00 5.0
AO,	06/08	ROYCE TRADING (ROYC280)	012	TLB	S	36,700	12.44	n/a	n/a	1835.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	107,477.33
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	107,477.33
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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