



Daily Compliance Activity Report

Trade Date: 07/06/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	1,800	251.01	n/a	n/a	54.00	3.0
EXIS CAPITAL	044	AEO	B	5,000	11.75	n/a	30-Jun	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	16.30	n/a	n/a	800.00	4.0
COOPER CREEK PART	028	AXL	B	25,000	7.29	n/a	3-May	1,250.00	5.0
OZ MGMT	040	AXL	B	105,236	7.14	n/a	3-May	3,157.08	3.0
AVESTA CAP	229	AXP	S	100,000	39.54	n/a	30-Jun	3,000.00	3.0
EPOCH INV MGMT	030	BA	B	7,200	62.24	n/a	30-Jun	216.00	3.0
CATAPULT	040	BBT	B	3,875	26.39	n/a	n/a	193.75	5.0
WHITE PINE CAPITAL	030	BEBE	S	8,975	6.79	n/a	n/a	448.75	5.0
NEUBERGER BERMAN	036	BUCY	S	48,900	49.94	n/a	30-Apr	1,956.00	4.0
COLUMBIA PARTNERS	028	CFSG	S	18,874	8.99	n/a	n/a	566.22	3.0
BUCK CAPITAL MGMT	001	CHS	B	40,000	10.00	n/a	5-Feb	1,200.00	3.0
EPOCH INV MGMT	030	COL	B	4,400	53.13	n/a	26-Apr	132.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,200	76.63	n/a	6-Jul	168.00	4.0
EPOCH INV MGMT	030	DHR	B	4,300	36.67	n/a	n/a	129.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	DHX	S	15,000	6.95	n/a	n/a	450.00	3.0
GLENHILL CAPITAL	212	EBAY	S	250,000	19.65	n/a	n/a	12,500.00	5.0
SENATOR INVESTMENT GROUP	036	EEM	B	100,000	38.20	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	EL	SS	10,000	59.24	n/a	7-Jun	400.00	4.0
SENVEST PART	085	FOR	S	40,000	18.02	n/a	28-Jun	2,000.00	5.0
KENNEDY CAPITAL	046	FUL	B	53,600	18.80	n/a	n/a	2,144.00	4.0
WOOSTER CAPITAL	035	F	B	100,000	10.10	n/a	2-Jul	5,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	25.88	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	50,000	32.16	n/a	28-May	1,500.00	3.0
SCOPUS FUND	041	GPI	B	8,165	22.48	n/a	28-Apr	408.25	5.0
TRELLUS PARTNERS LP	028	GR	SS	10,000	64.90	n/a	4-Jun	500.00	5.0
EXIS CAPITAL	044	GYMB	B	17,500	42.62	n/a	30-Jun	875.00	5.0
SCOUT/UMB	047	IAU	B	10,970	11.69	n/a	n/a	548.50	5.0
ELM RIDGE ADVISORS	044	IP	S	2,600	23.22	n/a	28-Jun	104.00	4.0
CAPITAL GROWTH MGMT.	241	ITUB	B	100,000	19.29	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JAH	B	10,000	26.56	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JAH	S	5,000	26.50	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	JCG	B	5,000	37.09	n/a	n/a	250.00	5.0
ROYCE TRADING	012	JNS	B	500	9.13	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	15.46	n/a	14-May	800.00	4.0
EXIS CAPITAL	044	JNY	B	22,500	14.59	n/a	14-May	1,125.00	5.0
EXIS CAPITAL	044	JWN	B	10,000	32.58	n/a	30-Jun	500.00	5.0
CAVU CAP ADV	028	KEG	S	34,339	9.37	n/a	6-Jul	1,716.95	5.0
SCOUT/UMB	047	LQD	S	13,911	108.32	n/a	n/a	695.55	5.0
MERRILL ASSET/BLACKROCK	266	MAC	S	21,000	36.61	n/a	n/a	840.00	4.0
THE JAY GOLDMAN	028	MGM	S	10,000	9.31	n/a	15-Jun	400.00	4.0
EXIS CAPITAL	044	M	B	10,000	17.62	n/a	30-Jun	500.00	5.0
SCOPUS FUND	041	M	S	100,000	17.49	n/a	30-Jun	5,000.00	5.0
CAPITAL GROWTH MGMT.	241	NTAP	S	100,000	37.78	n/a	n/a	5,000.00	5.0
THE JAY GOLDMAN	028	OEH	S	10,000	7.41	n/a	n/a	400.00	4.0
ELM RIDGE ADVISORS	044	PCL	B	1,500	34.56	n/a	28-Jun	60.00	4.0
THE JAY GOLDMAN	028	PNK	B	10,000	8.70	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	B	20,000	46.36	n/a	26-May	800.00	4.0
FEDERATED INV/KAUFMAN	029	QCOM	S	100,000	32.90	n/a	n/a	5,500.00	5.5
ROYCE TRADING	012	RBN	B	2,800	21.08	n/a	n/a	140.00	5.0
SCOPUS FUND	041	RL	B	10,000	71.44	n/a	20-May	500.00	5.0
ROYCE TRADING	012	RTI	B	5,000	23.48	n/a	n/a	250.00	5.0
ROYCE TRADING	012	SFY	B	10,000	25.94	n/a	n/a	500.00	5.0
ROYCE TRADING	012	SGY	B	5,000	11.13	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	39.60	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	SKX	B	10,000	37.10	n/a	n/a	500.00	5.0
COBALT	041	SLM	B	50,000	10.63	n/a	30-Jun	2,500.00	5.0
AMBER CAPITAL	046	SNV	SS	206,000	2.41	n/a	n/a	6,180.00	3.0
TRAFELET & COMP.	028	SOA	SS	63,700	12.68	n/a	n/a	1,911.00	3.0
ELM RIDGE ADVISORS	044	TIN	S	2,300	20.23	n/a	28-Jun	92.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	SS	97,100	42.70	n/a	30-Jun	3,398.50	3.5
EXIS CAPITAL	044	TLB	S	5,000	10.44	n/a	n/a	250.00	5.0
ROYCE TRADING	012	TLB	B	8,300	10.05	n/a	n/a	415.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	TRN	B	5,000	17.37	n/a	n/a	250.00	5.0
ROYCE TRADING	012	TXI	B	5,000	27.82	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	URBN	SS	10,000	34.96	n/a	n/a	500.00	5.0
ROYCE TRADING	012	UTR	B	3,000	25.13	n/a	n/a	150.00	5.0
EPOCH INV MGMT	030	V	B	4,400	73.82	n/a	28-Jun	132.00	3.0
NEUBERGER BERMAN	036	WGL	B	25,000	34.24	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	WTR	B	25,000	17.84	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	028	WYN	S	25,000	20.38	n/a	n/a	1,000.00	4.0
COHE & STEERS	041	WY	S	22,567	34.77	n/a	28-Jun	902.68	4.0
EXIS CAPITAL	044	XRT	S	50,000	36.30	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :								98,984.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/02	FIRST NEW YORK LEDDY (FNYS)	035	BSX	B	10,000	6.12	n/a	n/a	600.00 6.0
AO,CRT	07/02	FIRST NEW YORK LEDDY (FNYS)	035	BSX	B	10,000	6.12	n/a	n/a	400.00 4.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRDEUTSC)	044	DAN	B	2,000	9.40	n/a	30-Apr	100.00 5.0
AO,CRT	07/01	METROPOLITAN CAPITAL (METRDEUTSC)	044	DAN	B	2,200	9.40	n/a	30-Apr	110.00 5.0
AO,CXL	07/01	METROPOLITAN CAPITAL (METRSPEAR)	044	DAN	B	800	9.40	n/a	30-Apr	40.00 5.0
AO,CRT	07/01	METROPOLITAN CAPITAL (METRSPEAR)	044	DAN	B	600	9.40	n/a	30-Apr	30.00 5.0
AO,	07/02	METROPOLITAN CAPITAL (METRDEUTSC)	044	DAN	B	7,900	9.51	n/a	30-Apr	395.00 5.0
AO,	07/02	METROPOLITAN CAPITAL (METRGS BUL)	044	DAN	B	24,800	9.51	n/a	30-Apr	1240.00 5.0
AO,	07/02	METROPOLITAN CAPITAL (METRSPEAR)	044	DAN	B	2,200	9.51	n/a	30-Apr	110.00 5.0
AO,CXL	07/02	MTB INV ADV (MTBIMAIN O)	034	DHX	S	750	6.98	n/a	n/a	37.50 5.0
AO,CRT	07/02	MTB INV ADV (MTBIMAIN O)	034	DHX	S	750	6.98	n/a	n/a	22.50 3.0
AO,CXL	07/02	MTB INV ADV (MTBISMCAPI)	034	DHX	S	20,000	6.98	n/a	n/a	1000.00 5.0
AO,CRT	07/02	MTB INV ADV (MTBISMCAPI)	034	DHX	S	20,000	6.98	n/a	n/a	600.00 3.0
AO,CXL	06/30	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	25,000	10.36	n/a	2-Jul	1250.00 5.0
AO,CRT	06/30	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	25,000	10.36	n/a	2-Jul	750.00 3.0
AO,	07/02	SENVEST PART (SENVBARCLE)	085	FOR	S	50,000	17.70	n/a	28-Jun	2500.00 5.0
AO,CXL	06/29	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	LPX	B	150,500	6.86	n/a	29-Jun	6020.00 4.0
AO,CRT	06/29	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	LPX	B	150,500	6.86	n/a	29-Jun	4515.00 3.0
CRT	07/06	THE JAY GOLDMAN (GOLDGSBULK)	028	MGM	S	10,000	9.31	n/a	15-Jun	400.00 4.0
AO,	07/02	MELLON/BANK OF NEW YORK (BONE474)	046	QEP	S	2,750	29.51	n/a	n/a	82.50 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/02	MELLON/BANK OF NEW YORK (BONETS400)	046	QEP	S	2,750	29.51	n/a	n/a	82.50 3.0
CRT	07/06	THE JAY GOLDMAN (GOLDGSBULK)	028	WYN	S	25,000	20.38	n/a	n/a	1000.00 4.0
TOTAL (AO, CXL, CRT) :										3,025.00

TOTAL (Trade Date) :	98,984.23
TOTAL (AO, CXL, CRT) :	3,025.00

TOTAL (RUN DATE) / NFS :	102,009.23
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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