



Daily Compliance Activity Report

Trade Date: 07/21/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
US BANCORP	030	ABC	B	14,480	32.22	n/a	n/a	724.00	5.0
US BANCORP	030	ADTN	B	11,560	31.40	n/a	n/a	578.00	5.0
EXIS CAPITAL	044	AEO	B	40,000	12.16	n/a	9-Jul	2,000.00	5.0
US BANCORP	030	ALB	B	6,102	42.07	n/a	n/a	305.10	5.0
EXIS CAPITAL	044	ANF	SS	5,000	34.17	n/a	9-Jul	250.00	5.0
SCOPUS FUND	041	ANF	B	8,202	34.78	n/a	9-Jul	410.10	5.0
US BANCORP	030	ANR	S	12,018	37.20	n/a	n/a	600.90	5.0
BALYASNY ASSET MGMT	044	ARM	B	15,000	14.94	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	80,000	29.23	n/a	9-Jul	3,200.00	4.0
SCOPUS FUND	041	ARO	SS	25,000	29.21	n/a	9-Jul	1,250.00	5.0
MILLRACE FUND LP	028	ARUN	S	5,000	16.26	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	AVP	S	30,000	28.07	n/a	12-Jul	1,200.00	4.0
GREEN ARROW DOUG	040	AYI	SS	10,000	39.91	n/a	n/a	500.00	5.0
CATAPULT	040	BEAV	B	8,910	28.19	n/a	20-Jul	445.50	5.0
FIRST NEW YORK LEDDY	035	BSX	S	10,000	5.95	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	BUCY	B	7,775	56.48	n/a	30-Apr	388.75	5.0
CATAPULT	040	CACI	B	8,580	44.72	n/a	n/a	429.00	5.0
CATAPULT	040	CBE	B	27,965	46.68	n/a	27-May	1,398.25	5.0
SYSTEMATIC FINANCIAL MGT	035	CBG	B	371,500	14.32	n/a	n/a	11,145.00	3.0
SIGMA CAPITAL ASSOCIATES	041	CHS	B	50,000	9.65	n/a	5-Feb	1,750.00	3.5
BAIRD INVESTMENT	047	COG	B	14,700	33.58	n/a	19-Jul	735.00	5.0
US BANCORP	030	CTRP	S	11,114	38.06	n/a	n/a	555.70	5.0
GREEN ARROW DOUG	040	CVO	S	20,000	5.32	n/a	n/a	1,000.00	5.0
GRANAHAN INV	048	DGI	S	52,500	25.56	n/a	n/a	2,100.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	SS	25,000	42.10	n/a	6-Jul	875.00	3.5
GREEN ARROW DOUG	040	EL	SS	10,000	62.04	n/a	7-Jun	500.00	5.0
BIXBY LLC	070	FBR	B	3,000	14.97	n/a	n/a	120.00	4.0
US BANCORP	030	FFIV	S	2,625	75.13	n/a	n/a	131.25	5.0
EXIS CAPITAL	044	FINL	B	20,000	14.06	n/a	n/a	1,000.00	5.0
OZ MGMT	040	F	B	50,000	11.80	n/a	15-Jul	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	F	B	60,000	11.81	n/a	15-Jul	3,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	26.74	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GPS	S	100,000	18.07	n/a	n/a	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	SS	25,000	18.09	n/a	n/a	875.00	3.5
DIAMONDBACK CAP MGMT	232	GTI	S	25,000	15.51	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	24.98	n/a	19-Jul	400.00	4.0
GRANITE CAPITAL	028	HOG	SS	30,000	26.76	n/a	n/a	1,500.00	5.0
CATAPULT	040	HRS	B	7,194	44.70	n/a	29-Apr	359.70	5.0
DAVIDSON KEMPNER ADVISOR	040	IEO	SS	20,000	50.24	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	IWM	C	24,000	62.87	n/a	n/a	720.00	3.0
BUCK CAPITAL MGMT	001	JCP	SS	10,000	24.04	n/a	9-Jul	400.00	4.0
MELLON/BANK OF NEW YORK	046	JNJ	S	52,768	57.92	n/a	n/a	2,638.40	5.0
EXIS CAPITAL	044	JNY	B	5,000	14.75	n/a	19-Jul	250.00	5.0
WATERFRONT CAP	028	KIM	B	100,000	13.77	n/a	n/a	4,000.00	4.0
T. ROWE PRICE	033	LPX	B	146,791	6.75	n/a	19-Jul	2,935.82	2.0
US BANCORP	030	MD	S	6,681	49.74	n/a	n/a	334.05	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	MHK	S	2,590	45.69	n/a	n/a	129.50	5.0
HARBORWATCH/DIAMBACK	232	MTW	S	50,000	9.48	n/a	30-Apr	1,500.00	3.0
SONTERRA CAP	041	MT	B	25,000	30.83	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	M	B	30,000	18.37	n/a	9-Jul	1,500.00	5.0
EXIS CAPITAL	044	M	B	35,000	18.29	n/a	9-Jul	1,750.00	5.0
SAC CAPITAL/M GRONET	030	M	B	10,000	18.55	n/a	9-Jul	350.00	3.5
CATAPULT	040	NOC	B	6,765	56.68	n/a	20-Jul	338.25	5.0
GLENHILL CAPITAL	212	NOK	SS	235,000	8.96	n/a	n/a	11,750.00	5.0
US BANCORP	030	NTAP	B	8,813	40.23	n/a	n/a	440.65	5.0
CAERUS GLOBAL	041	PEP	S	17,500	64.85	n/a	n/a	700.00	4.0
US BANCORP	030	PH	B	9,443	58.75	n/a	30-Apr	472.15	5.0
BUCK CAPITAL MGMT	001	PIR	S	120,447	6.73	n/a	n/a	3,613.41	3.0
CATAPULT	040	PNC	B	2,500	58.84	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	15.34	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	PVH	B	7,500	47.26	n/a	19-Jul	375.00	5.0
S.A.C. CAP/ORENSTEIN	044	QQQQ	B	200,000	45.07	n/a	n/a	7,000.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	239	SE	S	285,000	20.94	n/a	n/a	11,400.00	4.0
BUCK CAPITAL MGMT	001	SIG	S	3,000	29.07	n/a	n/a	120.00	4.0
BALYASNY ASSET MGMT	044	SKX	B	20,000	35.00	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	SMH	SS	64,000	27.67	n/a	n/a	2,560.00	4.0
BERMAN CAPITAL MGMT	046	SPY	B	30,000	108.57	n/a	n/a	900.00	3.0
ROTHSCHILD ASSET	040	STE	B	18,770	30.20	n/a	n/a	750.80	4.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	20.22	n/a	n/a	800.00	4.0
US BANCORP	030	THOR	B	4,277	41.43	n/a	n/a	213.85	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	15,000	21.47	n/a	19-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	41.88	n/a	9-Jul	800.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	42.24	n/a	9-Jul	250.00	5.0
US BANCORP	030	TKR	S	6,343	29.57	n/a	n/a	317.15	5.0
CAMBIAR CAP	046	TLB	B	94,230	10.41	n/a	n/a	2,826.90	3.0
EXIS CAPITAL	044	TLB	B	10,000	10.55	n/a	n/a	500.00	5.0
CAVU CAP ADV	028	TXT	S	20,000	19.36	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	10,000	34.34	n/a	19-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERCORE WEALTH MGMT	012	UNH	B	19,225	30.90	n/a	n/a	961.25	5.0
CAVU CAP ADV	028	UPS	S	14,500	60.41	n/a	n/a	725.00	5.0
MISSION POINT	048	UTX	SS	1,000	67.90	n/a	n/a	50.00	5.0
FEDERATED INV/KAUFMAN	029	VVUS	B	10,000	5.19	n/a	n/a	550.01	5.5
SCOPUS FUND	041	WSM	B	25,000	25.55	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	XLE	SS	10,000	53.05	n/a	n/a	300.00	3.0
GREEN ARROW DOUG	040	XLY	SS	25,000	30.24	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date) :								122,023.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/21	MILLRACE FUND LP (MILRGS)	028	ARUN	S	5,000	16.26	n/a	n/a	200.00 4.0
AO,	07/20	OHIO PERS (OHIO2010)	047	DIS	S	60,000	33.16	n/a	n/a	1800.00 3.0
CRT	07/21	ROSEDALE CAPITAL (ROSEGS)	046	F	B	60,000	11.81	n/a	15-Jul	3000.00 5.0
CRT	07/21	SONTERRA CAP (SONTMSBULK)	041	MT	B	25,000	30.83	n/a	n/a	1000.00 4.0
AO,CXL	07/20	CONIFER/ISF (CONIISFRIP)	025	TEN	B	3,500	22.43	n/a	n/a	140.00 4.0
AO,CRT	07/20	CONIFER/ISF (CONIISFRIP)	025	TEN	B	3,500	22.43	n/a	n/a	175.00 5.0
AO,CRT	07/20	MILLENIU PARTNERS (MILPMLICS)	028	VCI	B	10,000	28.95	n/a	n/a	400.00 4.0
AO,CXL	07/20	MILLENIU PARTNERS (MILPML)	028	VCI	B	10,000	28.95	n/a	n/a	400.00 4.0

TOTAL (AO, CXL, CRT) :**6,035.00**

TOTAL (Trade Date):

122,023.44

TOTAL (AO, CXL, CRT):

6,035.00

TOTAL (RUN DATE) / NFS:**128,058.44**

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