



Daily Compliance Activity Report

Trade Date: 07/16/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	50,000	11.93	n/a	9-Jul	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	10,000	50.99	n/a	15-Jul	300.00	3.0
NEW JERSEY DIV OF INV.	030	BAC	B	102,000	14.03	n/a	6-Jul	4,060.00	3.5
BUCK CAPITAL MGMT	001	BKC	SS	50,000	17.21	n/a	8-Jul	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	BKE	B	20,000	28.06	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	BLL	B	50,000	54.69	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	BMS	B	100,000	28.34	n/a	n/a	4,000.00	4.0
HARBORWATCH/DIAMBACK	232	CAT	C	10,000	63.89	n/a	12-May	500.00	5.0
NEW JERSEY DIV OF INV.	030	CCK	B	280,000	25.90	n/a	n/a	11,200.00	4.0
BUCK CAPITAL MGMT	001	CHS	B	30,000	9.46	n/a	5-Feb	900.00	3.0
1798 CAP/LOMBARD ASSET	040	CLF	B	14,000	46.99	n/a	n/a	700.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	35.20	n/a	14-May	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	COLM	C	25,000	45.00	n/a	n/a	750.00	3.0
LEVEL GLOBAL SHARED ACCT	257	CRI	SS	50,000	25.47	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	CYT	B	4,000	41.81	n/a	n/a	200.00	5.0
TRELLUS PARTNERS LP	028	DAN	B	20,000	10.61	n/a	15-Jul	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	DG	B	20,000	29.09	n/a	8-Jun	800.00	4.0
NEW JERSEY DIV OF INV.	030	DIS	B	20,000	33.60	n/a	n/a	800.00	4.0
MACKLOWE ASSET MGMT	041	DLTR	B	40,000	42.75	n/a	6-Jul	1,600.00	4.0
BUCK CAPITAL MGMT	001	EL	B	10,000	63.30	n/a	7-Jun	400.00	4.0
NEW JERSEY DIV OF INV.	030	EMR	S	45,000	45.24	n/a	n/a	1,800.00	4.0
NEW JERSEY DIV OF INV.	030	EMS	B	10,000	48.33	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	EPR	B	10,000	39.56	n/a	n/a	400.00	4.0
1798 CAP/LOMBARD ASSET	040	ES	SS	10,000	4.71	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	FDO	SS	50,000	38.08	n/a	7-Jul	2,000.00	4.0
CATAPULT	040	FITB	B	10,000	12.27	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	FOR	B	19,400	16.09	n/a	28-Jun	970.00	5.0
BUCK CAPITAL MGMT	001	GES	S	50,000	32.91	n/a	28-May	2,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	28.73	n/a	14-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	GIL	SS	50,000	29.08	n/a	14-May	1,500.00	3.0
COLUMBUS CIRCLE	036	GOOG	S	3,000	467.28	n/a	n/a	120.00	4.0
CONIFER/ISF	025	GOOG	B	2,000	463.81	n/a	n/a	80.00	4.0
BUCK CAPITAL MGMT	001	GPS	S	300,000	18.31	n/a	n/a	12,000.00	4.0
EXIS CAPITAL	044	GPS	B	5,000	18.45	n/a	n/a	250.00	5.0
METROPOLITAN CAPITAL	044	GSM	B	16,400	10.08	n/a	n/a	820.00	5.0
SPARTA ASSET MGMT	035	GYMB	B	17,500	42.33	n/a	9-Jul	525.00	3.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	24.59	n/a	14-May	400.00	4.0
NEW JERSEY DIV OF INV.	030	HES	B	10,000	51.54	n/a	n/a	400.00	4.0
MASTERS CAPITAL MANAGE	091	IP	B	50,000	23.22	n/a	28-Jun	2,000.00	4.0
EXIS CAPITAL	044	JCG	B	22,500	32.80	n/a	n/a	1,125.00	5.0
1798 CAP/LOMBARD ASSET	040	KBR	SS	15,000	20.57	n/a	n/a	750.00	5.0
MACKLOWE ASSET MGMT	041	KFT	B	25,000	29.00	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	MAR	SS	150,000	30.94	n/a	n/a	6,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	MAT	S	150,000	21.55	n/a	n/a	6,000.00	4.0
DENVER INST. ADV	046	MFB	B	77,400	21.38	n/a	n/a	3,096.00	4.0
1798 CAP/LOMBARD ASSET	040	MHK	B	22,000	44.92	n/a	n/a	1,100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	MIG	S	5,000	8.97	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	M	B	10,000	17.14	n/a	9-Jul	500.00	5.0
LAGRANGE CAP ADV	048	NNA	B	1,200	5.81	n/a	n/a	60.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	50,000	2.21	n/a	n/a	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	OC	SS	24,000	29.27	n/a	n/a	1,200.00	5.0
ROYCE TRADING	012	OMG	B	6,000	24.10	n/a	n/a	300.00	5.0
ROYCE TRADING	012	ORI	B	1,500	12.87	n/a	n/a	75.00	5.0
ROYCE TRADING	012	PHH	B	6,000	19.17	n/a	n/a	300.00	5.0
EXIS CAPITAL	044	PIR	B	125,000	6.54	n/a	n/a	6,250.00	5.0
1798 CAP/LOMBARD ASSET	040	PKG	S	2,500	22.78	n/a	28-Jun	125.00	5.0
TRELLUS PARTNERS LP	028	PKG	B	12,600	22.78	n/a	28-Jun	630.00	5.0
EXIS CAPITAL	044	PLCE	SS	5,000	44.87	n/a	3-Jun	250.00	5.0
NEW JERSEY DIV OF INV.	030	PRI	B	20,000	21.31	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	150,000	15.70	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	45.16	n/a	26-May	800.00	4.0
T. ROWE PRICE	033	SBUX	B	28,700	25.33	n/a	16-Jul	1,148.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	SFY	B	12,000	26.74	n/a	n/a	600.00	5.0
BUCK CAPITAL MGMT	001	SIG	S	50,000	28.31	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	SKS	S	70,000	7.46	n/a	n/a	2,800.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	32.12	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	SPY	B	50,000	107.46	n/a	n/a	1,500.00	3.0
ROYCE TRADING	012	SSCC	B	5,000	20.96	n/a	8-Jul	250.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	B	4,000	12.74	n/a	n/a	200.00	5.0
CAERUS GLOBAL	041	TJX	B	10,000	41.72	n/a	9-Jul	400.00	4.0
DENVER INST. ADV	046	TJX	S	34,400	42.11	n/a	9-Jul	1,376.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	10.38	n/a	n/a	1,200.00	4.0
1798 CAP/LOMBARD ASSET	040	TXI	SS	9,000	29.18	n/a	n/a	450.00	5.0
HARBORWATCH/DIAMBACK	232	TYC	SS	20,000	36.21	n/a	3-Jun	1,000.00	5.0
GRANITE CAPITAL	028	URBN	SS	10,000	32.27	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	36.49	n/a	14-May	800.00	4.0
SCOUT/UMB	047	WRC	B	20,100	36.49	n/a	14-May	1,005.00	5.0
1798 CAP/LOMBARD ASSET	040	XRX	B	10,000	8.31	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	XRX	S	80,000	8.39	n/a	n/a	3,200.00	4.0
LAGRANGE CAP ADV	048	YHOO	B	20,000	14.90	n/a	n/a	1,000.00	5.0
ROYCE TRADING	012	ZQK	S	15,000	4.11	n/a	10-May	450.00	3.0
TOTAL (Trade Date) :								122,865.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									122,865.00
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									122,865.00
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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