



Daily Compliance Activity Report

Trade Date: 07/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	100	249.84	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	ADSK	B	400	24.21	n/a	n/a	16.00	4.0
NWQ INVESTMENT MGMT CO	048	AIN	S	11,300	15.54	n/a	n/a	452.00	4.0
WINSLOW CAPITAL	030	AMZN	B	200	110.56	n/a	n/a	8.00	4.0
GREEN ARROW DOUG	040	ANN	B	21,700	16.39	n/a	n/a	1,085.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	29.74	n/a	30-Jun	400.00	4.0
NWQ INVESTMENT MGMT CO	048	ARW	B	2,900	22.17	n/a	n/a	116.00	4.0
MILLRACE FUND LP	028	AXL	B	10,000	6.79	n/a	3-May	300.00	3.0
ROSEDALE CAPITAL	046	AXL	B	50,000	6.72	n/a	3-May	2,500.00	5.0
SCHOTTENFELD ASSOC	041	AXL	B	11,678	6.87	n/a	3-May	350.34	3.0
PARTNER REINSURANCE	033	BBBY	B	13,050	36.72	n/a	n/a	522.00	4.0
WINSLOW CAPITAL	030	BIDU	B	700	68.13	n/a	n/a	28.00	4.0
BUCK CAPITAL MGMT	001	BJ	SS	40,000	41.67	n/a	n/a	1,600.00	4.0
ROYCE TRADING	012	BKD	S	5,000	14.88	n/a	n/a	250.00	5.0
NWQ INVESTMENT MGMT CO	048	BKI	S	4,900	10.05	n/a	n/a	196.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	BMV	B	48,418	24.52	n/a	n/a	1,936.72	4.0
WINSLOW CAPITAL	030	BRCM	B	800	33.42	n/a	n/a	32.00	4.0
DIAMONDBACK CAP MGMT	232	BYI	B	10,000	32.41	n/a	n/a	500.00	5.0
NWQ INVESTMENT MGMT CO	048	CASY	S	3,900	35.22	n/a	n/a	156.00	4.0
HARBORWATCH/DIAMBACK	232	CBE	SS	25,000	43.67	n/a	27-May	1,250.00	5.0
WINSLOW CAPITAL	030	CELG	B	300	49.21	n/a	n/a	12.00	4.0
COLUMBIA PARTNERS	028	CFSG	S	15,729	8.99	n/a	n/a	471.87	3.0
WINSLOW CAPITAL	030	CHRW	B	500	55.53	n/a	n/a	20.00	4.0
NWQ INVESTMENT MGMT CO	048	CIR	S	5,400	25.25	n/a	n/a	216.00	4.0
NWQ INVESTMENT MGMT CO	048	COHR	S	6,400	33.55	n/a	n/a	256.00	4.0
KACELA CAPITAL	034	COST	B	34,000	54.86	n/a	n/a	1,360.00	4.0
WINSLOW CAPITAL	030	COST	B	100	54.91	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	CRI	S	30,000	26.10	n/a	n/a	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	CRI	S	40,800	26.09	n/a	n/a	1,632.00	4.0
GALT INVESTMENT	041	CROX	B	50,000	10.39	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	CSCO	B	700	21.26	n/a	n/a	28.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTSH	B	900	50.04	n/a	n/a	36.00	4.0
METROPOLITAN CAPITAL	044	DAN	B	8,900	9.40	n/a	30-Apr	445.00	5.0
THE JAY GOLDMAN	028	DG	B	30,000	27.54	n/a	8-Jun	1,200.00	4.0
RBC CAPITAL MARKETS	040	DOW	B	25,000	23.06	n/a	21-May	1,000.00	4.0
BENCHMARK	025	DUF	S	2,500	12.35	n/a	n/a	100.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EMC	B	303,100	18.07	n/a	n/a	12,124.00	4.0
WINSLOW CAPITAL	030	ESRX	B	100	45.38	n/a	n/a	4.00	4.0
EXIS CAPITAL	044	FINL	B	40,000	13.07	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	FL	B	77,500	12.79	n/a	16-Jun	3,100.00	4.0
KACELA CAPITAL	034	FO	SS	30,000	37.23	n/a	n/a	1,200.00	4.0
KENNEDY CAPITAL	046	FUL	B	26,363	18.92	n/a	n/a	1,054.52	4.0
AVESTA CAP	229	F	C	400,000	10.16	n/a	30-Jun	12,000.00	3.0
RBC CAPITAL MARKETS	040	F	B	50,000	10.51	n/a	30-Jun	2,000.00	4.0
SCOPUS FUND	041	F	B	87,300	10.51	n/a	30-Jun	4,365.00	5.0
TRAFELET & COMP.	028	F	C	1,350,000	10.32	n/a	30-Jun	40,500.00	3.0
EXIS CAPITAL	044	GES	SS	15,000	32.16	n/a	28-May	750.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	40,000	27.47	n/a	14-May	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	GMCR	B	600	25.50	n/a	n/a	24.00	4.0
ROYCE TRADING	012	GRB	S	2,500	5.18	n/a	n/a	125.00	5.0
NWQ INVESTMENT MGMT CO	048	GTI	B	5,400	14.27	n/a	n/a	216.00	4.0
THE JAY GOLDMAN	028	GYMB	B	20,000	43.09	n/a	30-Jun	800.00	4.0
CAVU CAP ADV	028	HD	B	25,000	27.82	n/a	30-Jun	1,250.00	5.0
EXIS CAPITAL	044	HIG	B	25,000	21.71	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	INTC	B	48,000	19.46	n/a	n/a	1,920.00	4.0
RBC CAPITAL MARKETS	040	IP	S	20,000	22.16	n/a	28-Jun	800.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	35.44	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	JWN	B	5,000	32.72	n/a	30-Jun	250.00	5.0
Õ Ravi Sadarangani		KELYA	B	500	13.8300	n/a	n/a	0.00	0.0
PARTNER REINSURANCE	033	KSS	B	9,550	48.45	n/a	30-Jun	382.00	4.0
NWQ INVESTMENT MGMT CO	048	LECO	S	1,500	49.99	n/a	n/a	60.00	4.0
WINSLOW CAPITAL	030	LLTC	B	900	28.06	n/a	n/a	36.00	4.0
T. ROWE PRICE	033	LPX	B	463,500	6.87	n/a	29-Jun	9,270.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	LRCX	B	500	38.21	n/a	n/a	20.00	4.0
CASTLEROCK	040	LTD	B	69,294	22.52	n/a	n/a	2,771.76	4.0
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	31.04	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	MPXL	B	100,000	3.68	n/a	21-Jun	5,000.00	5.0
WINSLOW CAPITAL	030	MRVL	B	500	16.37	n/a	n/a	20.00	4.0
AVESTA CAP	229	MSFT	B	200,000	23.09	n/a	n/a	6,000.00	3.0
Õ Ravi Sadarangani		MTW	B	500	8.7500	n/a	30-Apr	0.00	0.0
BANK OF AMERICA/MERRILL	259	M	B	25,000	18.19	n/a	30-Jun	1,000.00	4.0
EXIS CAPITAL	044	M	B	20,000	18.04	n/a	30-Jun	1,000.00	5.0
THE JAY GOLDMAN	028	M	S	65,000	17.97	n/a	30-Jun	2,600.00	4.0
WINSLOW CAPITAL	030	NTAP	B	300	37.91	n/a	n/a	12.00	4.0
NWQ INVESTMENT MGMT CO	048	OCR	B	2,300	23.51	n/a	n/a	92.00	4.0
ROYCE TRADING	012	OMG	B	5,000	23.57	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	ORCL	B	800	21.53	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	ORLY	B	600	48.03	n/a	n/a	24.00	4.0
ROYCE TRADING	012	OSG	B	5,000	36.36	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	PHH	B	5,000	18.89	n/a	n/a	250.00	5.0
ROYCE TRADING	012	POL	S	15,000	8.40	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	59,600	16.67	n/a	n/a	2,384.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	45.71	n/a	26-May	250.00	5.0
ROYCE TRADING	012	RDC	S	15,000	21.23	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	RL	SS	5,000	72.12	n/a	20-May	250.00	5.0
KACELA CAPITAL	034	RTH	B	20,000	86.10	n/a	n/a	800.00	4.0
ROYCE TRADING	012	RTI	B	5,000	23.36	n/a	n/a	250.00	5.0
EGS ASSOCIATES LP	091	SAH	SS	4,000	8.46	n/a	n/a	240.00	6.0
WINSLOW CAPITAL	030	SHPGY	B	200	60.90	n/a	28-Jun	8.00	4.0
ROYCE TRADING	012	SM	S	5,000	40.04	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	TEVA	B	300	52.03	n/a	29-Jun	12.00	4.0
Õ Ravi Sadarangani		TEX	B	400	17.6500	n/a	30-Apr	0.00	0.0
THE JAY GOLDMAN	028	TGT	S	15,000	48.78	n/a	30-Jun	600.00	4.0
BUCK CAPITAL MGMT	001	THI	SS	30,000	31.86	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MADISON ST PARTNERS LLC	046	TIF	B	25,000	38.10	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	19.80	n/a	28-Jun	1,000.00	5.0
KACELA CAPITAL	034	TXN	B	26,725	23.29	n/a	n/a	1,069.00	4.0
GRANITE CAPITAL	028	URBN	S	20,000	34.51	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	URBN	B	700	35.22	n/a	n/a	28.00	4.0
HIGHBRIDGE CAP	041	USG	B	100,000	12.17	n/a	28-Jun	4,000.00	4.0
GREEN ARROW DOUG	040	WEN	S	50,000	4.03	n/a	11-Jun	2,500.00	5.0
PARTNER REINSURANCE	033	WMT	S	7,850	48.25	n/a	19-May	314.00	4.0
CAERUS GLOBAL	041	WRC	B	20,000	36.19	n/a	14-May	800.00	4.0
EGS ASSOCIATES LP	091	WRC	B	3,000	36.21	n/a	14-May	180.00	6.0
EXIS CAPITAL	044	WRC	B	20,000	36.33	n/a	14-May	1,000.00	5.0
CRAMER ROSENTHAL/SCOTT	012	WSM	C	6,100	23.98	n/a	n/a	244.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WSM	C	100,000	24.07	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	WWW	B	20,000	25.18	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	YUM	S	7,500	39.13	n/a	15-Apr	300.00	4.0
TOTAL (Trade Date):								164,514.21	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/30	MILLRACE FUND LP (MILRGS)	028	AXL	B	5,000	7.28	n/a	3-May	200.00 4.0
AO,CRT	06/30	MILLRACE FUND LP (MILRGS)	028	AXL	B	5,000	7.28	n/a	3-May	150.00 3.0
AO,	06/30	CAVU CAP ADV (CAVUCREDIS)	028	BYI	S	30,367	33.44	n/a	n/a	1518.35 5.0
AO,CXL	06/30	CAVU CAP ADV (CAVUMORGAN)	028	BYI	S	60,729	33.44	n/a	n/a	3036.45 5.0
AO,CRT	06/30	CAVU CAP ADV (CAVUMORGAN)	028	BYI	S	30,362	33.44	n/a	n/a	1518.10 5.0
AO,	06/30	CAVU CAP ADV (CAVUCREDIS)	028	CPB	B	10,832	35.66	n/a	n/a	541.60 5.0
AO,CXL	06/30	CAVU CAP ADV (CAVUMORGAN)	028	CPB	B	21,664	35.94	n/a	n/a	1083.20 5.0
AO,CRT	06/30	CAVU CAP ADV (CAVUMORGAN)	028	CPB	B	10,832	35.94	n/a	n/a	541.60 5.0
CRT	07/01	GALT INVESTMENT (GALTGS)	041	CROX	B	50,000	10.39	n/a	n/a	2000.00 4.0
AO,CRT	06/30	CAVU CAP ADV (CAVUCREDIS)	028	F	S	35,850	10.36	n/a	30-Jun	1792.50 5.0
AO,CXL	06/30	CAVU CAP ADV (CAVUMORGAN)	028	F	S	71,700	10.36	n/a	30-Jun	3585.00 5.0
AO,CRT	06/30	CAVU CAP ADV (CAVUMORGAN)	028	F	S	35,850	10.36	n/a	30-Jun	1792.50 5.0
CRT	07/01	THE JAY GOLDMAN (GOLDGSBULK)	028	GYMB	B	20,000	43.09	n/a	30-Jun	800.00 4.0
AO,	06/30	MARINER/TRICADIA (MARITRGSPB)	041	IWM	B	1,018	62.22	n/a	n/a	50.90 5.0
AO,CXL	06/30	MARINER/TRICADIA (MARITRICAD)	041	IWM	B	10,000	62.22	n/a	n/a	500.00 5.0
AO,CRT	06/30	MARINER/TRICADIA (MARITRICAD)	041	IWM	B	8,982	62.22	n/a	n/a	449.10 5.0
CRT	07/01	THE JAY GOLDMAN (GOLDGSBULK)	028	M	S	65,000	17.97	n/a	30-Jun	2600.00 4.0
CRT	07/01	EGS ASSOCIATES LP (EGASBANC O)	091	SAH	SS	4,000	8.46	n/a	n/a	240.00 6.0
AO,	06/30	TYEE/TYGH (TYEE50)	035	SMG	B	530	44.82	n/a	17-Jun	21.20 4.0
AO,	06/30	TYEE/TYGH (TYEE62)	035	SMG	B	834	44.82	n/a	17-Jun	33.36 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/30	TYEE/TYGH (TYEE63)	035	SMG	B	642	44.82	n/a	17-Jun	25.68 4.0
AO,	06/30	TYEE/TYGH (TYEE61)	035	SMG	B	914	44.82	n/a	17-Jun	36.56 4.0
AO,	06/30	TYEE/TYGH (TYEE60)	035	SMG	B	414	44.82	n/a	17-Jun	16.56 4.0
AO,	06/30	TYEE/TYGH (TYEE58)	035	SMG	B	1,590	44.82	n/a	17-Jun	63.60 4.0
AO,	06/30	TYEE/TYGH (TYEE59)	035	SMG	B	5,927	44.82	n/a	17-Jun	237.08 4.0
AO,	06/30	TYEE/TYGH (TYEE53)	035	SMG	B	1,755	44.82	n/a	17-Jun	70.20 4.0
AO,	06/30	TYEE/TYGH (TYEE54)	035	SMG	B	670	44.82	n/a	17-Jun	26.80 4.0
AO,	06/30	TYEE/TYGH (TYEE55)	035	SMG	B	4,243	44.82	n/a	17-Jun	169.72 4.0
AO,	06/30	TYEE/TYGH (TYEE56)	035	SMG	B	3,837	44.82	n/a	17-Jun	153.48 4.0
AO,	06/30	TYEE/TYGH (TYEE57)	035	SMG	B	881	44.82	n/a	17-Jun	35.24 4.0
AO,	06/30	TYEE/TYGH (TYEE51)	035	SMG	B	196	44.82	n/a	17-Jun	7.84 4.0
AO,	06/30	TYEE/TYGH (TYEE52)	035	SMG	B	293	44.82	n/a	17-Jun	11.72 4.0
AO,	06/30	TYEE/TYGH (TYEE31)	035	SMG	B	244	44.82	n/a	17-Jun	9.76 4.0
AO,	06/30	TYEE/TYGH (TYEE49)	035	SMG	B	779	44.82	n/a	17-Jun	31.16 4.0
AO,	06/30	TYEE/TYGH (TYEE47)	035	SMG	B	1,062	44.82	n/a	17-Jun	42.48 4.0
AO,	06/30	TYEE/TYGH (TYEE48)	035	SMG	B	1,549	44.82	n/a	17-Jun	61.96 4.0
AO,	06/30	TYEE/TYGH (TYEE39)	035	SMG	B	336	44.82	n/a	17-Jun	13.44 4.0
AO,	06/30	TYEE/TYGH (TYEE40)	035	SMG	B	1,196	44.82	n/a	17-Jun	47.84 4.0
AO,	06/30	TYEE/TYGH (TYEE43)	035	SMG	B	254	44.82	n/a	17-Jun	10.16 4.0
AO,	06/30	TYEE/TYGH (TYEE44)	035	SMG	B	325	44.82	n/a	17-Jun	13.00 4.0
AO,	06/30	TYEE/TYGH (TYEE45)	035	SMG	B	165	44.82	n/a	17-Jun	6.60 4.0
AO,CXL	06/30	TYEE/TYGH (TYEE142)	035	SMG	B	91,200	44.82	n/a	17-Jun	3648.00 4.0
AO,	06/30	TYEE/TYGH (TYEE142)	035	SMG	B	14,554	44.82	n/a	17-Jun	582.16 4.0
AO,	06/30	TYEE/TYGH (TYEE36)	035	SMG	B	202	44.82	n/a	17-Jun	8.08 4.0
AO,	06/30	TYEE/TYGH (TYEE38)	035	SMG	B	268	44.82	n/a	17-Jun	10.72 4.0
AO,	06/30	TYEE/TYGH (TYEE17)	035	SMG	B	6,879	44.82	n/a	17-Jun	275.16 4.0
AO,	06/30	TYEE/TYGH (TYEE19)	035	SMG	B	1,000	44.82	n/a	17-Jun	40.00 4.0
AO,	06/30	TYEE/TYGH (TYEE20)	035	SMG	B	1,804	44.82	n/a	17-Jun	72.16 4.0
AO,	06/30	TYEE/TYGH (TYEE21)	035	SMG	B	1,796	44.82	n/a	17-Jun	71.84 4.0
AO,	06/30	TYEE/TYGH (TYEE22)	035	SMG	B	1,828	44.82	n/a	17-Jun	73.12 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/30	TYEE/TYGH (TYEE23)	035	SMG	B	12,684	44.82	n/a	17-Jun	507.36 4.0
AO,	06/30	TYEE/TYGH (TYEE24)	035	SMG	B	1,976	44.82	n/a	17-Jun	79.04 4.0
AO,	06/30	TYEE/TYGH (TYEE27)	035	SMG	B	2,816	44.82	n/a	17-Jun	112.64 4.0
AO,	06/30	TYEE/TYGH (TYEE4)	035	SMG	B	16,757	44.82	n/a	17-Jun	670.28 4.0
AO,	06/23	CRAMER ROSENTHAL/SCOTT (CRSB2057)	012	SRE	B	1,040	47.89	n/a	n/a	41.60 4.0
AO,	06/23	CRAMER ROSENTHAL/SCOTT (CRSB2058)	012	SRE	B	1,000	47.89	n/a	n/a	40.00 4.0

TOTAL (AO, CXL, CRT) :	5,671.60
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TOTAL (Trade Date) :	164,514.21
TOTAL (AO, CXL, CRT) :	5,671.60

TOTAL (RUN DATE) / NFS:	170,185.81
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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