



Daily Compliance Activity Report

Trade Date: 09/07/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT	001	AEO	B	30,000	13.41	n/a	2-Sep	1,200.00 4.0
PZENA INV ADV	044	AVT	B	75,833	24.30	n/a	n/a	2,654.27 3.5
• Alice Longley		AXP	S	25	41.7100	n/a	1-Sep	0.00 0.0
CATAPULT	040	CE	B	15,000	28.13	n/a	n/a	750.00 5.0
NEUBERGER BERMAN	036	CRK	S	40,000	21.22	n/a	n/a	1,600.00 4.0
BIXBY LLC	070	DAN	B	10,000	10.86	n/a	2-Aug	400.00 4.0
COLONIAL FUND LLC	036	DAN	B	25,000	11.02	n/a	2-Aug	750.00 3.0
CATAPULT	040	FDO	SS	4,600	42.40	n/a	2-Sep	230.00 5.0
JP MORGAN VENTURES	046	FL	B	15,000	12.97	n/a	20-Aug	750.00 5.0
SAC CHICAGO ANDREW	031	FL	B	15,000	12.93	n/a	20-Aug	525.00 3.5
TALKOT CAPITAL LLC	084	FL	S	25,000	12.96	n/a	20-Aug	1,000.00 4.0
NEUBERGER BERMAN	036	GGP	S	1,200	14.80	n/a	n/a	48.00 4.0
NEUBERGER BERMAN	036	GTLS	S	15,000	16.59	n/a	n/a	600.00 4.0
MERRILL ASSET/BLACKROCK	266	HMN	B	55,500	17.62	n/a	n/a	2,220.00 4.0
THE JAY GOLDMAN	028	HTZ	S	60,000	9.56	n/a	n/a	2,400.00 4.0
RBC CAPITAL MARKETS	040	IP	B	25,000	21.95	n/a	26-Aug	1,000.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	028	JCG	B	10,000	34.22	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	M	S	500,000	20.62	n/a	2-Sep	25,000.00	5.0
FARALLON CAP MGMT	040	ORCL	S	205,000	24.58	n/a	n/a	6,150.00	3.0
JP MORGAN VENTURES	046	PVH	S	10,000	50.68	n/a	19-Jul	500.00	5.0
TRUSTCO/SUNTRUST	040	RF	B	106,867	6.66	n/a	n/a	3,740.35	3.5
BALYASNY ASSET MGMT	044	ROST	B	20,000	51.65	n/a	n/a	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	SKX	B	43,550	26.56	n/a	n/a	1,306.50	3.0
GREEN ARROW DOUG	040	SONC	B	25,000	7.85	n/a	n/a	1,250.00	5.0
TALKOT CAPITAL LLC	084	SSCC	B	5,000	17.79	n/a	26-Aug	200.00	4.0
1798 CAP/LOMBARD ASSET	040	SWC	S	10,000	14.83	n/a	n/a	500.00	5.0
SAC CHICAGO ANDREW	031	TGT	B	20,000	52.83	n/a	2-Sep	700.00	3.5
SAC CHICAGO ANDREW	031	TJX	B	10,000	41.24	n/a	2-Sep	350.00	3.5
MACKLOWE ASSET MGMT	041	TLB	SS	34,834	11.04	n/a	n/a	1,393.36	4.0
MACKLOWE ASSET MGMT	041	TLB	S	5,166	11.05	n/a	n/a	206.64	4.0
KLEINHEINZ CAP PART	031	WMT	B	50,000	52.25	n/a	7-Sep	2,500.00	5.0
SAC CHICAGO ANDREW	031	WMT	S	10,000	52.20	n/a	7-Sep	350.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	X	S	10,000	48.33	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	75,000	44.36	n/a	14-Jul	3,750.00	5.0
TOTAL (Trade Date):								65,924.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/03	FORWARD MGMT (FORWBNP)	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00 4.0
AO,CXL	09/03	FORWARD MGMT (FORWLGCAPE)	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00 4.0
CRT	09/07	THE JAY GOLDMAN (GOLDGSBULK)	028	HTZ	S	60,000	9.56	n/a	n/a	2400.00 4.0
AO,CXL	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	SS	10,000	24.06	n/a	26-Aug	500.00 5.0
AO,	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	SS	10,000	24.06	n/a	26-Aug	300.00 3.0
TOTAL (AO, CXL, CRT) :										2,200.00

TOTAL (Trade Date) :	65,924.12
TOTAL (AO, CXL, CRT) :	2,200.00

TOTAL (RUN DATE) / NFS:	68,124.12
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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