



## Daily Compliance Activity Report

Trade Date: 09/14/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT	001	AEO	B	250,000	14.71	n/a	2-Sep	10,000.00 4.0
THIRD COAST CAPITAL	035	ANF	B	5,000	37.03	n/a	2-Sep	250.00 5.0
GRANITE CAPITAL	028	AN	S	10,000	23.83	n/a	4-Aug	500.00 5.0
TRUSTCO/SUNTRUST	040	CERN	S	17,030	80.14	n/a	n/a	596.05 3.5
KLEINHEINZ CAP PART	031	CIEN	B	75,000	15.17	n/a	n/a	3,750.00 5.0
IRIDIAN ASSET MGMT.	036	CNX	S	5,120	34.60	n/a	n/a	256.00 5.0
SIGMA CAPITAL ASSOCIATES	041	COST	S	25,000	61.15	n/a	n/a	875.00 3.5
GRUSS CAPITAL	025	CPO	S	5,000	36.64	n/a	n/a	150.00 3.0
CASTLE ARK	031	CSCO	B	296,900	21.75	n/a	n/a	14,845.00 5.0
L.R.BURTSCHY & CO	029	DAN	S	20,000	10.61	n/a	2-Aug	1,200.00 6.0
WEINTRAUB CAPITAL MGT.	040	DG	SS	25,000	27.43	n/a	1-Sep	1,000.00 4.0
PARTNER REINSURANCE	033	DHR	B	33,483	40.29	n/a	n/a	1,339.32 4.0
SONTERRA CAP	041	EXC	SS	10,000	42.37	n/a	n/a	400.00 4.0
OZ MGMT	040	F	SS	75,000	11.93	n/a	2-Sep	2,250.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RWC PARTNERS LTD	067	F	S	407,900	11.99	n/a	2-Sep	12,237.00	3.0
FARALLON CAP MGMT	040	GMT	SS	3,861	30.01	n/a	n/a	154.44	4.0
ROXBURY CAPITAL MGMT	035	HEK	S	150,000	4.04	n/a	n/a	3,000.00	2.0
IRIDIAN ASSET MGMT.	036	HPQ	S	27,960	39.28	n/a	n/a	1,398.00	5.0
MACKLOWE ASSET MGMT	041	KFT	B	65,000	31.13	n/a	n/a	2,600.00	4.0
PZENA INV ADV	044	KFT	S	14,775	30.84	n/a	n/a	517.13	3.5
SAC CHICAGO ANDREW	031	KR	S	37,100	21.62	n/a	n/a	1,298.50	3.5
GREEN ARROW DOUG	040	LIZ	B	40,000	4.97	n/a	7-Oct	2,000.00	5.0
NEWLAND CAPITAL MGT	067	LSTR	S	15,000	38.43	n/a	n/a	600.00	4.0
CHILTON CAPITAL MGMT.	036	MDT	B	100,000	33.25	n/a	n/a	3,000.00	3.0
ROSEDALE CAPITAL	046	MSFT	S	15,000	25.23	n/a	n/a	750.00	5.0
ARCHON CAPITAL	035	MSPD	B	50,000	7.22	n/a	n/a	1,500.00	3.0
TPG-AXON	040	ORCL	S	420,000	25.16	n/a	n/a	21,000.00	5.0
IRIDIAN ASSET MGMT.	036	OXY	B	2,300	78.70	n/a	n/a	115.00	5.0
GRANITE CAPITAL	028	PAG	B	10,000	11.95	n/a	4-Aug	500.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	B	20,000	23.63	n/a	26-Aug	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	PLCE	S	2,360	49.94	n/a	19-Aug	94.40	4.0
THIRD COAST CAPITAL	035	PLCE	S	5,000	50.47	n/a	19-Aug	250.00	5.0
CENTURION PARTNERS	041	PSS	S	30,000	15.30	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	PX	S	4,110	88.19	n/a	23-Aug	205.50	5.0
IRIDIAN ASSET MGMT.	036	ROC	B	74,540	29.91	n/a	n/a	3,727.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		SLM		SS	20,000	11.22	n/a	14-Sep	800.00 4.0
GRUSS CAPITAL	025	SNY	S	5,000	31.97	n/a	n/a	150.00	3.0
IRIDIAN ASSET MGMT.	036	TEL	B	13,110	26.92	n/a	n/a	655.50	5.0
CAXTON PART	040	TGT	B	8,760	53.41	n/a	2-Sep	306.61	3.5
TRUSTCO/SUNTRUST	040	TGT	B	26,390	53.72	n/a	2-Sep	923.65	3.5
RANGER	031	UA	S	59,490	42.30	n/a	28-Jul	2,974.50	5.0
GALT INVESTMENT	041	ULTA	S	15,000	27.75	n/a	n/a	750.00	5.0
TRUSTCO/SUNTRUST	040	WFC	B	52,970	26.13	n/a	13-Sep	1,853.95	3.5
THIRD COAST CAPITAL	035	WMT	B	10,000	52.83	n/a	7-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>48.49</b>	<b>n/a</b>	<b>6-Aug</b>	<b>800.00</b>	<b>4.0</b>
T. ROWE PRICE	033	WY	S	126,700	16.11	n/a	26-Aug	5,068.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC ENERGY GS-BOB	044	XOM	SS	50,000	61.24	n/a	n/a	1,750.00	3.5
<b>TOTAL (Trade Date):</b>							<b>111,090.55</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	NOMURA CAPITAL (NOMUMCERS)	029	FCX	S	480	81.17	n/a	n/a	14.40 3.0
AO,	09/13	NOMURA CAPITAL (NOMU7MS7)	029	FCX	S	5,307	81.72	n/a	n/a	159.21 3.0
AO,	09/13	NOMURA CAPITAL (NOMU7MS7)	029	FCX	S	9,060	81.17	n/a	n/a	271.80 3.0
AO,	09/13	NOMURA CAPITAL (NOMUL3)	029	FCX	S	857	81.17	n/a	n/a	25.71 3.0
AO,	09/13	NOMURA CAPITAL (NOMUEB6J)	029	FCX	S	7,055	81.72	n/a	n/a	211.65 3.0
AO,	09/13	NOMURA CAPITAL (NOMUEB6J)	029	FCX	S	2,580	81.17	n/a	n/a	77.40 3.0
AO,	09/13	NOMURA CAPITAL (NOMULASERS)	029	FCX	S	108	81.72	n/a	n/a	3.24 3.0
AO,	09/13	NOMURA CAPITAL (NOMULASERS)	029	FCX	S	2,806	81.17	n/a	n/a	84.18 3.0
AO,	09/13	NOMURA CAPITAL (NOMUAYCB)	029	FCX	S	3,806	81.17	n/a	n/a	114.18 3.0
AO,	09/13	NOMURA CAPITAL (NOMUSPH)	029	FCX	S	411	81.17	n/a	n/a	12.33 3.0
CRT	09/14	SAC CHICAGO ANDREW (SCASJMPMB)	031	KR	S	37,100	21.62	n/a	n/a	1298.50 3.5
AO,CXL	09/13	METROPOLITAN CAPITAL (METRDEUTSC)	044	LEA	B	1,200	71.40	n/a	4-Aug	48.00 4.0
AO,CRT	09/13	METROPOLITAN CAPITAL (METRDEUTSC)	044	LEA	B	1,200	71.40	n/a	4-Aug	60.00 5.0
AO,CXL	09/13	METROPOLITAN CAPITAL (METRGS BUL)	044	LEA	B	3,900	71.40	n/a	4-Aug	156.00 4.0
AO,CRT	09/13	METROPOLITAN CAPITAL (METRGS BUL)	044	LEA	B	3,900	71.40	n/a	4-Aug	195.00 5.0
AO,CXL	09/13	METROPOLITAN CAPITAL (METRSPEAR)	044	LEA	B	300	71.40	n/a	4-Aug	12.00 4.0
AO,CRT	09/13	METROPOLITAN CAPITAL (METRSPEAR)	044	LEA	B	300	71.40	n/a	4-Aug	15.00 5.0
AO,	09/13	PIIONEER PATH (PIOPCDRPPD)	226	SKX	S	2,375	23.00	n/a	n/a	71.25 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,397.85</b>

TOTAL (Trade Date) :

111,090.55

TOTAL (AO, CXL, CRT):

2,397.85

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**TOTAL (RUN DATE) / NFS:**

**113,488.40**

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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