



## Daily Compliance Activity Report

Trade Date: 09/03/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ANF	B	15,000	35.78	n/a	2-Sep	600.00	4.0
NEWLAND CAPITAL MGT	067	AXE	S	10,000	49.07	n/a	27-Jul	400.00	4.0
<b>Õ Alice Longley</b>		<b>AXP</b>	<b>S</b>	<b>25</b>	<b>41.7100</b>	<b>n/a</b>	<b>1-Sep</b>	<b>0.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	BAC	B	8,000	13.45	n/a	20-Aug	400.00	5.0
PZENA INV ADV	044	BA	S	5,200	65.07	n/a	2-Sep	182.16	3.5
BRIGADE CAPITAL MGMT	029	BZ	S	250,000	7.40	n/a	n/a	7,500.00	3.0
SAC CAP/ROSEN FOR BOBBY	044	CEPH	SS	50,000	60.50	n/a	30-Aug	1,750.00	3.5
RBC CAPITAL MARKETS	040	CLF	SS	10,000	67.77	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	CRK	S	19,000	22.21	n/a	n/a	760.00	4.0
STRONG/MARK GRONET	030	DAL	S	600	11.10	n/a	n/a	24.00	4.0
OZ MGMT	040	DAN	S	28,200	11.58	n/a	2-Aug	846.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>SS</b>	<b>20,000</b>	<b>44.85</b>	<b>n/a</b>	<b>8-Jul</b>	<b>800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	EPP	B	1,000	41.37	n/a	n/a	50.00	5.0
<b>Õ Michael DiMattia</b>		<b>FCX</b>	<b>B</b>	<b>100</b>	<b>77.9000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	FDO	SS	10,000	42.87	n/a	2-Sep	500.00	5.0
FORWARD MGMT	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00	4.0
GCORE MANAGEMENT	041	FDO	SS	10,000	43.17	n/a	2-Sep	500.00	5.0
SCOPUS FUND	041	F	B	90,000	11.88	n/a	2-Sep	4,500.00	5.0
NEUBERGER BERMAN	036	GTLS	S	14,400	16.82	n/a	n/a	576.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>25.91</b>	<b>n/a</b>	<b>11-Aug</b>	<b>800.00</b>	<b>4.0</b>
HOPLITE MGMT	025	HON	C	140,000	42.67	n/a	18-Aug	7,000.00	5.0
WAGONHOUND/NIC	289	HOT	B	3,037	50.95	n/a	31-Aug	121.48	4.0
SACC-SCHWARTZ	044	HXL	SS	50,000	18.01	n/a	n/a	1,750.00	3.5
IRIDIAN ASSET MGMT.	036	IP	B	14,300	22.29	n/a	26-Aug	715.00	5.0
SOUTH POINT CAP	067	IWM	B	25,000	64.08	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>30,000</b>	<b>34.45</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	JCP	B	487,600	21.72	n/a	2-Sep	14,628.00	3.0
CAXTON PART	040	JPM	B	16,973	38.94	n/a	20-Aug	594.07	3.5
CAXTON PART	040	KSS	B	12,730	49.59	n/a	2-Sep	445.56	3.5
RBC CAPITAL MARKETS	040	KSS	SS	5,000	49.44	n/a	2-Sep	200.00	4.0
MACKLOWE ASSET MGMT	041	LOW	S	65,000	21.89	n/a	16-Aug	2,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
L.R.BURTSCHY & CO	029	LPX	S	3,300	7.56	n/a	26-Aug	198.00	6.0
CAXTON PART	040	MCD	S	50,000	74.50	n/a	9-Aug	1,750.01	3.5
SAC CAP/ROSEN FOR BOBBY	044	NCR	S	100,000	13.70	n/a	n/a	3,500.00	3.5
CAERUS GLOBAL	041	NDN	S	15,000	17.25	n/a	5-Aug	600.00	4.0
TRUSTCO/SUNTRUST	040	NDN	S	28,315	17.15	n/a	5-Aug	991.04	3.5
RBC CAPITAL MARKETS	040	NWL	B	10,000	16.05	n/a	n/a	400.00	4.0
SMITH MGMT LLC	029	NYT	B	200,000	8.01	n/a	n/a	6,000.00	3.0
RBC CAPITAL MARKETS	040	OMX	B	5,000	12.15	n/a	n/a	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	30,000	23.99	n/a	26-Aug	1,500.00	5.0
TRELLUS PARTNERS LP	028	PKG	SS	10,000	24.06	n/a	26-Aug	500.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	2,700	47.54	n/a	19-Aug	108.00	4.0
MACKLOWE ASSET MGMT	041	PVH	SS	17,700	50.80	n/a	19-Jul	708.00	4.0
MACKLOWE ASSET MGMT	041	PVH	S	12,300	50.71	n/a	19-Jul	492.00	4.0
RBC CAPITAL MARKETS	040	RSH	B	10,000	19.47	n/a	n/a	400.00	4.0
1798 CAP/LOMBARD ASSET	040	SPY	C	16,300	110.62	n/a	n/a	815.00	5.0
GRUSS CAPITAL	025	SPY	B	60,000	110.71	n/a	n/a	1,800.00	3.0
SOUTH POINT CAP	067	SPY	B	25,000	110.56	n/a	n/a	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	100,000	18.32	n/a	26-Aug	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	TEL	B	63,530	26.42	n/a	n/a	3,176.50	5.0
BMO NESBITT BURNS	041	TIN	SS	24,900	18.92	n/a	26-Aug	1,245.00	5.0
SCOPUS FUND	041	TIN	SS	20,900	18.92	n/a	26-Aug	1,045.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>20,000</b>	<b>41.94</b>	<b>n/a</b>	<b>2-Sep</b>	<b>800.00</b>	<b>4.0</b>
HOPLITE MGMT	025	TYC	S	34,662	39.00	n/a	18-Aug	1,733.10	5.0
STRONG/MARK GRONET	030	UAUA	S	20,000	22.48	n/a	n/a	800.00	4.0
CATAPULT	040	UPL	SS	25,000	41.09	n/a	19-Jul	1,250.00	5.0
1798 CAP/LOMBARD ASSET	040	VXX	B	34,500	19.18	n/a	n/a	1,725.00	5.0
CAXTON PART	040	WFC	B	16,973	25.77	n/a	20-Aug	594.07	3.5
RAINIER INV MGMT	035	WLL	S	50,000	91.45	n/a	n/a	2,000.00	4.0
MACKLOWE ASSET MGMT	041	WRC	B	25,000	46.40	n/a	6-Aug	1,000.00	4.0
MACKLOWE ASSET MGMT	041	WSM	S	30,000	28.54	n/a	n/a	1,200.00	4.0
GALT INVESTMENT	041	WTSLA	S	100,000	3.34	n/a	n/a	2,500.00	2.5
RBC CAPITAL MARKETS	040	X	S	10,000	45.86	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>96,172.99</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/02	LOMBARDIA CAP MGMT (LOMBDRYFUS)	084	COGT	S	973	11.10	n/a	n/a	48.65 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBTRSPBS)	084	COGT	S	2,949	11.10	n/a	n/a	117.96 4.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNTCCNL)	084	COGT	S	2,224	11.10	n/a	n/a	111.20 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYSIFS)	084	COGT	S	6,130	11.10	n/a	n/a	306.50 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBMICHAT)	084	COGT	S	1,240	11.10	n/a	n/a	62.00 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYTRAT)	084	COGT	S	311	11.10	n/a	n/a	15.55 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBCHICAG)	084	COGT	S	2,363	11.10	n/a	n/a	118.15 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBCTASC)	084	COGT	S	2,636	11.10	n/a	n/a	131.80 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBTRSSIS)	084	COGT	S	20,277	11.10	n/a	n/a	811.08 4.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBSURS)	084	COGT	S	6,463	11.10	n/a	n/a	323.15 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBSHELLF)	084	COGT	S	812	11.10	n/a	n/a	40.60 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNTCCSC)	084	COGT	S	6,017	11.10	n/a	n/a	300.85 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBSMPROG)	084	COGT	S	4,118	11.10	n/a	n/a	205.90 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBOPRSPR)	084	COGT	S	440	11.10	n/a	n/a	22.00 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYCRCP)	084	COGT	S	432	11.10	n/a	n/a	21.60 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYCRPR)	084	COGT	S	758	11.10	n/a	n/a	37.90 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYFRCP)	084	COGT	S	225	11.10	n/a	n/a	11.25 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYBERP)	084	COGT	S	200	11.10	n/a	n/a	10.00 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYBEFI)	084	COGT	S	475	11.10	n/a	n/a	23.75 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYFRPR)	084	COGT	S	173	11.10	n/a	n/a	8.65 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYPRCP)	084	COGT	S	277	11.10	n/a	n/a	13.85 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBCSTRSC)	084	COGT	S	1,957	11.10	n/a	n/a	97.85 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYPPPR)	084	COGT	S	840	11.10	n/a	n/a	42.00 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNYSCPR)	084	COGT	S	3,308	11.10	n/a	n/a	165.40 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNTAFSC)	084	COGT	S	1,691	11.10	n/a	n/a	84.55 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNTPVTS)	084	COGT	S	1,843	11.10	n/a	n/a	92.15 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNTBASC)	084	COGT	S	1,122	11.10	n/a	n/a	56.10 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/02	LOMBARDIA CAP MGMT (LOMBCPRSFI)	084	COGT	S	2,826	11.10	n/a	n/a	141.30 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBNEWVPR)	084	COGT	S	780	11.10	n/a	n/a	39.00 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBILMRPR)	084	COGT	S	1,499	11.10	n/a	n/a	74.95 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBEXEFIS)	084	COGT	S	564	11.10	n/a	n/a	28.20 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBFISCAL)	084	COGT	S	2,114	11.10	n/a	n/a	105.70 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBMARYNT)	084	COGT	S	6,014	11.10	n/a	n/a	300.70 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBABCSC)	084	COGT	S	88	11.10	n/a	n/a	4.40 5.0
AO,	09/02	LOMBARDIA CAP MGMT (LOMBCTBIVS)	084	COGT	S	1,747	11.10	n/a	n/a	87.35 5.0

**TOTAL (AO, CXL, CRT) :** **4,062.04**

TOTAL (Trade Date): 96,172.99  
TOTAL (AO, CXL, CRT): 4,062.04

**TOTAL (RUN DATE) / NFS:** **100,235.03**

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