



Daily Compliance Activity Report

Trade Date: 06/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	AEO	S	25,000	12.71	n/a	4-Jun	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AMP	B	22,800	39.89	n/a	n/a	684.00	3.0
SYSTEMATIC FINANCIAL MGT	035	ANN	B	17,700	18.78	n/a	n/a	531.00	3.0
BUCK CAPITAL MGMT	001	AN	SS	30,000	20.12	n/a	23-Apr	1,200.00	4.0
BERMAN CAPITAL MGMT	046	BBY	B	5,000	37.49	n/a	n/a	150.00	3.0
LATEFF MGMT	035	BDN	S	5,000	11.47	n/a	n/a	350.00	7.0
JP MORGAN VENTURES	046	CHRS	B	20,000	4.02	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	CHS	B	300,000	10.62	n/a	5-Feb	12,000.00	4.0
HOOVER INV. MGMT	033	CHS	S	185,200	10.65	n/a	5-Feb	7,408.00	4.0
APEX CAPITAL MGMT.	261	COF	C	98,000	44.29	n/a	21-Jun	3,920.00	4.0
ROSEDALE CAPITAL	046	COG	B	10,000	34.33	n/a	3-Jun	500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	70,000	41.30	n/a	14-May	2,800.00	4.0
SUN AMERICA ASSET MGMT	030	CRI	B	17,600	29.37	n/a	n/a	704.00	4.0
STANDARD PACIFIC CAPITAL	040	C	B	250,000	4.00	n/a	21-Jun	7,500.00	3.0
OZ MGMT	040	F	SS	100,000	11.50	n/a	3-Jun	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	GYMB	SS	15,000	45.08	n/a	10-Jun	750.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	10,000	41.99	n/a	n/a	400.00	4.0
GLENHILL CAPITAL	212	HOG	SS	115,000	25.78	n/a	n/a	5,750.00	5.0
GREEN ARROW DOUG	040	HOG	B	15,000	25.84	n/a	n/a	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	25.90	n/a	29-Apr	1,000.00	5.0
EXIS CAPITAL	044	JNY	B	7,500	18.38	n/a	14-May	375.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	20,000	37.06	n/a	4-Jun	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	JWN	S	7,700	38.41	n/a	4-Jun	231.00	3.0
ARMATURE CAPITAL	041	LEN	B	50,000	14.70	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	LHO	B	42,580	23.68	n/a	n/a	1,703.20	4.0
GALT INVESTMENT	041	LL	B	15,000	26.04	n/a	n/a	750.00	5.0
ASCEND PARTNERS	033	LTD	B	30,000	23.74	n/a	n/a	1,500.00	5.0
JP MORGAN VENTURES	046	LTD	S	25,000	23.87	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.19	n/a	n/a	800.00	4.0
SNYDER CAPITAL	033	MAT	B	35,285	22.37	n/a	n/a	1,411.40	4.0
CIRCLE T/SES PART	035	MPCL	SS	50,000	4.39	n/a	21-Jun	1,500.00	3.0
BUCK CAPITAL MGMT	001	MTN	SS	20,000	39.92	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	MW	B	5,000	19.88	n/a	n/a	150.00	3.0
FIRST NY SEC/CHRIS	041	M	B	10,000	20.14	n/a	4-Jun	0.00	0.0
BNP PARIBAS SEC	040	NKE	B	4,000	73.59	n/a	n/a	160.00	4.0
SYSTEMATIC FINANCIAL MGT	035	OSK	S	11,000	35.73	n/a	n/a	330.00	3.0
WADDELL AND REED	047	PMCS	S	59,700	7.99	n/a	n/a	2,388.00	4.0
ROYCE TRADING	012	POL	S	11,000	9.68	n/a	n/a	550.00	5.0
BERMAN CAPITAL MGMT	046	PSS	B	5,000	18.41	n/a	n/a	150.00	3.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	30,000	52.80	n/a	26-May	900.00	3.0
ROYCE TRADING	012	REX	S	2,500	18.48	n/a	n/a	125.00	5.0
CATAPULT	040	RJF	S	5,000	27.36	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	79.02	n/a	20-May	800.00	4.0
BNP PARIBAS SEC	040	SBUX	B	5,000	28.46	n/a	17-May	200.00	4.0
BERMAN CAPITAL MGMT	046	SCVL	B	3,000	21.97	n/a	n/a	90.00	3.0
WEISS PECK	040	SCVL	B	14,572	21.43	n/a	n/a	728.60	5.0
ROYCE TRADING	012	SEH	S	5,000	11.45	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	SIG	S	20,000	30.65	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	SKS	SS	50,000	8.85	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	SKS	SS	50,000	8.81	n/a	n/a	2,000.00	4.0
ROYCE TRADING	012	SKS	S	10,000	9.10	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	SLB	S	100,000	59.28	n/a	n/a	4,000.00	4.0
ROYCE TRADING	012	SOA	S	5,000	15.20	n/a	n/a	250.00	5.0
CARDINAL CAPITAL	044	SSI	S	7,400	12.04	n/a	n/a	370.00	5.0
CASTLEROCK	040	SWK	SS	26,099	54.01	n/a	n/a	1,043.96	4.0
BUCK CAPITAL MGMT	001	TGT	S	10,000	52.08	n/a	4-Jun	400.00	4.0
RBC CAPITAL MARKETS	040	TIN	S	65,000	22.99	n/a	21-Apr	2,600.00	4.0
BERMAN CAPITAL MGMT	046	TJX	B	5,000	45.51	n/a	4-Jun	150.00	3.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	11.49	n/a	n/a	1,200.00	4.0
GREEN ARROW DOUG	040	WEN	B	50,000	4.16	n/a	11-Jun	2,500.00	5.0
BUCK CAPITAL MGMT	001	WMS	S	30,000	43.50	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	39.27	n/a	14-May	800.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	25.92	n/a	n/a	1,600.00	4.0
BERMAN CAPITAL MGMT	046	XRT	B	20,000	39.22	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	YUM	B	7,500	42.92	n/a	15-Apr	300.00	4.0
GALT INVESTMENT	041	YUM	B	10,000	42.22	n/a	15-Apr	500.00	5.0
ROYCE TRADING	012	ZQK	S	15,000	4.70	n/a	10-May	450.00	3.0
TOTAL (Trade Date) :								94,053.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/21	BRIGADE CAPITAL MGMT (BRICJPMBS)	029	CVS	S	9,100	32.17	n/a	n/a	273.00 3.0
AO,	06/21	BRIGADE CAPITAL MGMT (BRICGS)	029	CVS	S	90,900	32.17	n/a	n/a	2727.00 3.0
AO,CXL	06/21	COOPER CREEK PART (COOPJPM)	028	DSW	SS	280	25.15	n/a	11-Jun	11.20 4.0
AO,CRT	06/21	COOPER CREEK PART (COOPJPM)	028	DSW	SS	310	25.15	n/a	11-Jun	12.40 4.0
AO,CXL	06/21	COOPER CREEK PART (COOPGS)	028	DSW	SS	4,221	25.15	n/a	11-Jun	168.84 4.0
AO,CRT	06/21	COOPER CREEK PART (COOPGS)	028	DSW	SS	4,191	25.15	n/a	11-Jun	167.64 4.0
AO,	06/21	EXIS CAPITAL (EXISDEUTC)	044	KSS	B	3,100	52.22	n/a	4-Jun	155.00 5.0
AO,	06/21	EXIS CAPITAL (EXISOPUSGS)	044	KSS	B	1,900	52.22	n/a	4-Jun	95.00 5.0
AO,	06/21	EXIS CAPITAL (EXISDEUTC)	044	M	B	9,400	20.90	n/a	4-Jun	470.00 5.0
AO,	06/21	EXIS CAPITAL (EXISOPUSGS)	044	M	B	5,600	20.90	n/a	4-Jun	280.00 5.0
TOTAL (AO, CXL, CRT) :										4,000.00
TOTAL (Trade Date) :										94,053.16
TOTAL (AO, CXL, CRT) :										4,000.00
TOTAL (RUN DATE) / NFS :										98,053.16

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