



Daily Compliance Activity Report

Trade Date: 09/20/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	ADTN	S	26,700	34.69	n/a	n/a	1,068.00	4.0
BALYASNY ASSET MGMT	044	AEO	S	20,000	15.16	n/a	2-Sep	1,000.00	5.0
WEISS PECK	040	AEO	S	8,700	15.03	n/a	2-Sep	435.00	5.0
DAWSON SANBERG & CO	041	AMLN	B	21,200	21.48	n/a	n/a	1,060.00	5.0
PATTEN & PATTEN	067	APC	B	1,200	55.75	n/a	13-Sep	60.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	23.62	n/a	2-Sep	2,000.00	4.0
TPG-AXON	040	BAC	SS	300,000	13.52	n/a	15-Sep	15,000.00	5.0
PATTEN & PATTEN	067	BDX	S	300	73.28	n/a	n/a	15.00	5.0
GRUSS CAPITAL	025	BP	B	10,000	38.42	n/a	n/a	300.00	3.0
PATTEN & PATTEN	067	BP	S	1,500	38.73	n/a	n/a	75.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.43	n/a	n/a	800.00	4.0
WEISS PECK	040	BWS	S	16,600	11.14	n/a	n/a	830.00	5.0
TRUST CO/COWEN/CALF.	040	CBB	S	16,685	2.84	n/a	n/a	500.55	3.0
PZENA INV ADV	044	CIR	S	3,350	31.07	n/a	n/a	117.25	3.5
PZENA INV ADV	044	CNW	B	20,411	29.31	n/a	n/a	714.47	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	CROX	B	20,000	11.71	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	CTXS	S	11,525	69.55	n/a	n/a	461.00	4.0
ACK ASSET	028	DAN	B	32,000	11.34	n/a	2-Aug	960.00	3.0
WAGONHOUND/NIC	289	DE	S	6,208	72.88	n/a	19-Aug	248.32	4.0
CHILTON CAPITAL MGMT.	036	DG	C	100,000	27.80	n/a	1-Sep	3,000.00	3.0
HIGHBRIDGE CAP	041	DKS	B	54,171	27.79	n/a	19-Aug	2,166.84	4.0
PZENA INV ADV	044	DRH	S	18,400	9.82	n/a	n/a	644.00	3.5
BUCK CAPITAL MGMT	001	EL	B	22,450	59.88	n/a	13-Aug	898.00	4.0
DENVER INST. ADV	046	EOG	S	1,644	88.90	n/a	n/a	65.76	4.0
PATTEN & PATTEN	067	EPP	B	1,800	43.88	n/a	n/a	90.00	5.0
PATTEN & PATTEN	067	EWG	B	2,100	21.36	n/a	n/a	105.00	5.0
ZIMMER LUCAS PARTNERS 10/14/03085		EXC	SS	75,000	42.21	n/a	n/a	2,250.00	3.0
RANGER	031	EXPE	S	57,040	28.53	n/a	n/a	2,852.00	5.0
MERRILL ASSET/BLACKROCK	266	FMC	S	52,410	68.29	n/a	n/a	2,096.40	4.0
SOROS	036	FO	SS	60,316	49.95	n/a	n/a	2,412.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	GFF	S	5,375	11.58	n/a	n/a	188.13	3.5
BANK OF AMERICA/MERRILL	259	GMR	S	17,500	4.79	n/a	n/a	525.00	3.0
KLEINHEINZ CAP PART	031	GOLD	B	30,000	99.41	n/a	n/a	1,500.00	5.0
SCOPUS FUND	041	HBI	SS	10,000	25.78	n/a	11-Aug	500.00	5.0
ARCHON CAPITAL	035	HOT	B	25,000	53.86	n/a	8-Sep	750.00	3.0
PATTEN & PATTEN	067	IEF	S	400	97.52	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	INTC	B	3,900	18.92	n/a	n/a	195.00	5.0
IRIDIAN ASSET MGMT.	036	IP	B	19,690	21.35	n/a	20-Sep	984.50	5.0
ROSEDALE CAPITAL	046	IP	B	15,000	21.76	n/a	20-Sep	750.00	5.0
PATTEN & PATTEN	067	ITT	S	3,250	46.74	n/a	30-Apr	162.50	5.0
HARBORWATCH/DIAMBACK	232	ITW	SS	25,000	46.74	n/a	30-Jul	1,250.00	5.0
MILLENNIUM-ANDEW	031	JOYG	S	20,000	68.46	n/a	2-Sep	1,200.00	6.0
ONE EAST CAP ADV LP	048	KKR	S	10,000	10.11	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	KMB	B	100	67.17	n/a	26-Jul	5.00	5.0
SAC CHICAGO ANDREW	031	KSS	B	10,000	51.33	n/a	2-Sep	350.00	3.5
BMO NESBITT BURNS	041	LPX	S	4,000	7.41	n/a	26-Aug	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	LTD	S	21,022	26.83	n/a	n/a	840.88	4.0
WAGONHOUND/NIC	289	MA	B	2,567	214.89	n/a	16-Sep	102.68	4.0
CAMBIAR CAP	046	MDT	B	50,500	33.42	n/a	n/a	2,020.00	4.0
CHILTON CAPITAL MGMT.	036	MDT	B	50,000	33.49	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	MFB	SS	30,000	29.37	n/a	n/a	1,500.00	5.0
CATAPULT	040	MS	S	10,000	26.88	n/a	15-Sep	500.00	5.0
LATEFF MGMT	035	NKE	S	1,000	78.32	n/a	n/a	300.00	30.0
TRUST CO/COWEN/CALF.	040	NR	S	2,550	9.28	n/a	n/a	102.00	4.0
COBALT	041	OI	S	50,000	28.74	n/a	n/a	2,500.00	5.0
ADALY INV MGMT	031	PAG	B	100	11.88	n/a	4-Aug	5.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	28,000	22.15	n/a	20-Sep	1,400.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	B	80,990	23.30	n/a	20-Sep	4,049.50	5.0
TRUST CO/COWEN/CALF.	040	PKG	B	24,350	22.70	n/a	20-Sep	974.00	4.0
PZENA INV ADV	044	PLT	S	7,650	31.62	n/a	n/a	267.75	3.5
DENVER INST. ADV	046	QCOR	B	13,377	10.67	n/a	n/a	535.08	4.0
KACELA CAPITAL	034	RCL	B	60,000	31.36	n/a	n/a	2,400.00	4.0
COHE & STEERS	041	RYN	S	321,600	50.08	n/a	26-Aug	12,864.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	SHOO	B	18,500	39.45	n/a	n/a	925.00	5.0
WEISS PECK	040	SKX	S	9,300	23.87	n/a	n/a	465.00	5.0
GRUSS CAPITAL	025	SLB	B	10,000	58.81	n/a	n/a	300.00	3.0
PATTEN & PATTEN	067	SLB	S	100	58.49	n/a	n/a	5.00	5.0
GRUSS CAPITAL	025	SPY	B	20,000	113.76	n/a	n/a	600.00	3.0
BMO NESBITT BURNS	041	SSCC	B	5,000	19.24	n/a	20-Sep	250.00	5.0
SIGMA CAP BOBBY	044	TEX	S	25,000	22.51	n/a	23-Jul	875.00	3.5
BASIX	033	TIN	S	118,000	18.75	n/a	20-Sep	3,540.00	3.0
CAMBIAR CAP	046	TIN	B	22,000	18.24	n/a	20-Sep	880.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	15,000	18.68	n/a	20-Sep	750.00	5.0
SAGE ASSET MGMT	012	TIN	B	14,900	18.75	n/a	20-Sep	745.00	5.0
WEINTRAUB CAPITAL MGT.	040	TIN	S	26,200	18.40	n/a	20-Sep	1,048.00	4.0
PATTEN & PATTEN	067	TIP	S	350	107.80	n/a	n/a	17.50	5.0
SCOPUS FUND	041	TRW	B	10,000	36.23	n/a	n/a	500.00	5.0
COOPER CREEK PART	028	TTWO	B	2,300	9.75	n/a	n/a	92.00	4.0
PATTEN & PATTEN	067	TXN	S	1,100	25.89	n/a	n/a	55.00	5.0
GREENWICH PB/HILLTOP	086	UNP	B	50,000	80.65	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	URBN	SS	43,567	34.12	n/a	n/a	1,742.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	WFR	S	2,000	11.11	n/a	n/a	100.00	5.0
DENVER INST. ADV	046	WLL	B	1,280	94.95	n/a	n/a	51.20	4.0
PATTEN & PATTEN	067	WMB	S	2,700	18.86	n/a	n/a	135.00	5.0
HIGHBRIDGE CAP	041	WSM	B	32,489	30.89	n/a	n/a	1,299.56	4.0
SOROS	036	WYN	C	45,000	27.73	n/a	n/a	1,800.00	4.0
PATTEN & PATTEN	067	WY	B	6,290	15.68	n/a	26-Aug	314.50	5.0
PATTEN & PATTEN	067	WY	S	200	15.67	n/a	26-Aug	10.00	5.0
RBC CAPITAL MARKETS	040	X	S	15,000	45.49	n/a	n/a	600.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	46.48	n/a	14-Jul	2,500.00	5.0
TOTAL (Trade Date):								105,266.69	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/16	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	25,000	12.09	n/a	2-Sep	1250.00 5.0
AO,CRT	09/16	TRELLUS PARTNERS LP (TRELMAIN)	028	F	SS	25,000	12.09	n/a	2-Sep	750.00 3.0
CRT	09/20	SAC CHICAGO ANDREW (SCASCSPB)	031	KSS	B	10,000	51.33	n/a	2-Sep	350.00 3.5
AO,	09/17	FARALLON CAP MGMT (FARACS)	040	ORCL	S	13,400	27.30	n/a	n/a	402.00 3.0
AO,	09/17	FARALLON CAP MGMT (FARABULK F)	040	ORCL	S	51,600	27.30	n/a	n/a	1548.00 3.0
AO,	09/17	DENVER INST. ADV (DENV100)	046	QCOR	B	34,823	10.17	n/a	n/a	1392.92 4.0
TOTAL (AO, CXL, CRT) :										3,192.92

TOTAL (Trade Date) :	105,266.69
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TOTAL (RUN DATE) / NFS :	108,459.61
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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