



Daily Compliance Activity Report

Trade Date: 09/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BANK OF AMERICA/MERRILL	259	ANR	S	250	40.38	n/a	n/a	12.50	5.0
CATAPULT	040	AXP	S	13,000	40.15	n/a	8-Sep	650.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	BMR	S	12,950	18.31	n/a	n/a	388.50	3.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.17	n/a	n/a	800.00	4.0
CAVU CAP ADV	028	BWA	SS	45,000	46.17	n/a	2-Aug	2,250.00	5.0
BAIRD INVESTMENT	047	CLB	B	2,800	83.62	n/a	22-Jul	140.00	5.0
CATAPULT	040	CMA	S	9,923	36.54	n/a	n/a	496.15	5.0
BAIRD INVESTMENT	047	CVE	B	9,125	28.48	n/a	n/a	456.25	5.0
METROPOLITAN CAPITAL	044	DAN	B	10,200	10.47	n/a	2-Aug	510.00	5.0
MILLENIUM PARTNERS	028	DAN	B	30,000	10.38	n/a	2-Aug	1,200.00	4.0
OZ MGMT	040	DAN	B	150,000	10.47	n/a	2-Aug	4,500.00	3.0
TRELLUS PARTNERS LP	028	DAN	B	26,000	10.38	n/a	2-Aug	1,300.00	5.0
BANK OF AMERICA/MERRILL	259	DOV	SS	2,500	49.28	n/a	n/a	125.00	5.0
WEINTRAUB CAPITAL MGT.	040	FL	B	75,000	12.99	n/a	20-Aug	3,000.00	4.0
DIAMONDBACK CAP MGMT	232	F	S	100,000	11.82	n/a	2-Sep	5,000.00	5.0
FIRST NY SEC/CHRIS	041	GES	B	10,000	34.65	n/a	26-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	GGP	S	19,900	14.88	n/a	n/a	796.00	4.0
RBC CAPITAL MARKETS	040	HAS	S	15,000	43.64	n/a	n/a	600.00	4.0
BANK OF AMERICA/MERRILL	259	HON	S	500	42.33	n/a	18-Aug	25.00	5.0
T. ROWE PRICE	033	IP	B	51,400	21.56	n/a	26-Aug	2,056.00	4.0
Õ Michael DiMattia		ISSC	B	100	5.5500	n/a	n/a	0.00	0.0
BANK OF AMERICA/MERRILL	259	ITW	SS	1,000	45.57	n/a	30-Jul	50.00	5.0
BANK OF AMERICA/MERRILL	259	JBHT	S	750	34.96	n/a	n/a	30.00	4.0
BANK OF AMERICA/MERRILL	259	JCP	S	59,499	20.98	n/a	2-Sep	2,379.96	4.0
THE JAY GOLDMAN	028	JCP	B	16,200	20.98	n/a	2-Sep	648.00	4.0
EMERSON CAPITAL MGMT	048	JOYG	B	13,000	64.64	n/a	2-Sep	650.00	5.0
HUNTER GLOBAL INVESTOR	067	KCG	S	84,492	12.48	n/a	n/a	25.35	0.0
BANK OF AMERICA/MERRILL	259	KEX	B	250	37.13	n/a	n/a	10.00	4.0
BANK OF AMERICA/MERRILL	259	KMT	S	500	27.31	n/a	30-Jul	20.00	4.0
LEVIN CAPITAL STRATEGIES	012	KSS	SS	15,000	48.73	n/a	2-Sep	450.00	3.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	48.76	n/a	2-Sep	400.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	SS	8,000	31.38	n/a	1-Sep	320.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	MAT	B	10,000	21.78	n/a	n/a	400.00	4.0
HUNTER GLOBAL INVESTOR	067	MCD	S	175,000	76.06	n/a	8-Sep	8,750.00	5.0
BANK OF AMERICA/MERRILL	259	MGA	B	850	78.54	n/a	n/a	51.00	6.0
BROADARCH CAP/OLD NEWC	070	MGM	S	8,400	9.94	n/a	12-Aug	336.00	4.0
BANK OF AMERICA/MERRILL	259	MOS	S	250	59.98	n/a	n/a	12.50	5.0
BANK OF AMERICA/MERRILL	259	M	B	58,691	20.48	n/a	2-Sep	2,347.64	4.0
THE JAY GOLDMAN	028	M	SS	21,100	20.80	n/a	2-Sep	844.00	4.0
BANK OF AMERICA/MERRILL	259	NSC	S	1,500	58.25	n/a	n/a	75.00	5.0
BANK OF AMERICA/MERRILL	259	OC	B	2,150	26.55	n/a	n/a	86.00	4.0
BANK OF AMERICA/MERRILL	259	OI	S	500	28.10	n/a	n/a	20.00	4.0
BANK OF AMERICA/MERRILL	259	OSK	S	1,500	26.59	n/a	n/a	60.00	4.0
MILLENIUM PARTNERS	028	PCL	S	10,000	35.46	n/a	26-Aug	400.00	4.0
RANGER	098	PFCB	B	11,765	48.01	n/a	28-Jul	588.25	5.0
RBC CAPITAL MARKETS	040	PLCE	B	7,000	47.30	n/a	19-Aug	280.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	18,200	55.10	n/a	19-Jul	728.00	4.0
ARMATURE CAPITAL	041	ROK	S	30,000	56.04	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	RSH	B	10,000	19.21	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	SBUX	B	7,000	25.04	n/a	22-Jul	280.00	4.0
GRUSS CAPITAL	025	SNY	B	20,000	30.31	n/a	n/a	600.00	3.0
BANK OF AMERICA/MERRILL	259	SPY	SS	2,250	110.51	n/a	n/a	135.00	6.0
GRUSS CAPITAL	025	SPY	SS	20,000	110.62	n/a	n/a	600.00	3.0
BMO NESBITT BURNS	041	SSCC	B	4,000	17.65	n/a	26-Aug	280.00	7.0
BANK OF AMERICA/MERRILL	259	TEX	S	7,500	20.88	n/a	23-Jul	300.00	4.0
RBC CAPITAL MARKETS	040	TIF	SS	5,000	42.57	n/a	n/a	200.00	4.0
BMO NESBITT BURNS	041	TIN	S	2,000	18.47	n/a	26-Aug	140.00	7.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	41.38	n/a	2-Sep	875.00	3.5
RBC CAPITAL MARKETS	040	TSCO	B	10,000	36.97	n/a	n/a	400.00	4.0
BANK OF AMERICA/MERRILL	259	UTIW	S	250	15.24	n/a	n/a	10.00	4.0
CATAPULT	040	V	B	2,750	69.63	n/a	2-Aug	137.50	5.0
RBC CAPITAL MARKETS	040	WMS	SS	7,000	37.90	n/a	n/a	280.00	4.0
AVESTA CAP	229	WMT	SS	100,000	51.76	n/a	7-Sep	3,000.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	48.19	n/a	6-Aug	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	48.14	n/a	6-Aug	1,500.00	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	3,570	48.35	n/a	6-Aug	107.10	3.0
BROADARCH CAP/OLD NEWC	070	WYNN	S	1,800	87.52	n/a	1-Sep	72.00	4.0
MILLENIUM PARTNERS	028	WY	B	40,000	15.82	n/a	26-Aug	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	012	XRT	C	24,534	38.69	n/a	n/a	736.02	3.0
KLEINHEINZ CAP PART	031	YUM	B	30,000	44.69	n/a	14-Jul	1,500.00	5.0
TOTAL (Trade Date):								60,719.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/08	CAVU CAP ADV (CAVUCREDIS)	028	BWA	SS	45,000	46.17	n/a	2-Aug	2250.00 5.0
AO,CXL	09/07	BIXBY LLC (BIXBJPMORG)	070	DAN	B	10,000	10.86	n/a	2-Aug	400.00 4.0
AO,CRT	09/07	BIXBY LLC (BIXBJPMORG)	070	DAN	B	10,000	10.86	n/a	2-Aug	300.00 3.0
AO,CXL	09/07	THE JAY GOLDMAN (GOLDGSBULK)	028	HTZ	S	60,000	9.56	n/a	n/a	2400.00 4.0
AO,CRT	09/07	THE JAY GOLDMAN (GOLDGSBULK)	028	HTZ	S	60,000	9.55	n/a	n/a	2400.00 4.0

TOTAL (AO, CXL, CRT) :	2,150.00
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TOTAL (Trade Date) :	60,719.72
TOTAL (AO, CXL, CRT) :	2,150.00

TOTAL (RUN DATE) / NFS :	62,869.72
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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