



## Daily Compliance Activity Report

Trade Date: 06/10/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ALV	SS	4,600	49.50	n/a	28-Apr	230.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	35.50	n/a	4-Jun	875.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>20.88</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ARO	B	10,000	29.14	n/a	4-Jun	500.00	5.0
TRELLUS PARTNERS LP	028	BZ	B	50,000	5.03	n/a	n/a	1,500.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	BZ	B	40,000	5.18		n/a	n/a	1,600.00 4.0
PATTEN & PATTEN	067	CVE	S	10,266	28.49	n/a	n/a	513.30	5.0
SANDLER O'NEILL ASSET	031	C	B	50,000	3.91	n/a	7-Jun	1,000.00	2.0
BAIRD INVESTMENT	047	DRC	B	13,125	33.83	n/a	n/a	656.25	5.0
PATTEN & PATTEN	067	ECA	B	10,566	33.48	n/a	n/a	528.30	5.0
M&I FUNDS	047	GES	S	6,239	34.75	n/a	28-May	249.56	4.0
CONIFER/ISF	025	HAS	B	5,000	39.89	n/a	n/a	250.00	5.0
OZ MGMT	040	HD	C	75,000	32.71	n/a	19-May	2,250.00	3.0
BMO NESBITT BURNS	041	IP	SS	25,000	22.80	n/a	29-Apr	1,250.00	5.0
RBC CAPITAL MARKETS	040	IP	S	25,000	22.80	n/a	29-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARTNER REINSURANCE	033	M	B	17,350	21.29	n/a	4-Jun	694.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	53,300	13.87	n/a	27-May	2,132.00	4.0
JP MORGAN VENTURES	046	PDLI	B	15,000	5.23	n/a	n/a	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>50,000</b>	<b>19.08</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	PSS	B	15,000	19.04	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	PVH	SS	10,000	53.57	n/a	26-May	500.00	5.0
CATAPULT	040	SCHW	B	20,000	15.87	n/a	n/a	1,000.00	5.0
WEISS PECK	040	SKX	C	4,500	38.65	n/a	n/a	225.00	5.0
LOCUS WOOD CAPITAL MGMT	044	STR	B	50,000	46.44	n/a	3-Jun	2,000.00	4.0
CATAPULT	040	STT	S	5,000	36.91	n/a	11-May	250.00	5.0
BMO NESBITT BURNS	041	TIN	S	25,000	20.23	n/a	21-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	16,350	20.27	n/a	21-Apr	654.00	4.0
COUGAR TRADING	044	TM	B	10,000	70.70	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	TPX	S	21,190	32.02	n/a	n/a	847.60	4.0
JP MORGAN VENTURES	046	UNG	B	12,000	7.95	n/a	n/a	360.00	3.0
PARTNER REINSURANCE	033	WAG	S	8,150	29.77	n/a	n/a	326.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	XCO	S	25,000	18.28	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>28,141.01</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/07	PATTEN & PATTEN (PATTBERSHI)	067	FPL	B	75	49.26	n/a	n/a	3.75	5.0
AO,CRT	06/07	PATTEN & PATTEN (PATTBERSHI)	067	FPL	B	75	49.26	n/a	n/a	3.75	5.0
AO,	06/09	AVESTA CAP (AVESDEUTS)	229	JBL	SS	93,836	12.63	n/a	n/a	2815.08	3.0
AO,	06/09	AVESTA CAP (AVESDEUTS)	229	JBL	SS	6,164	12.63	n/a	n/a	184.92	3.0
CRT	06/10	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCU)	044	STR	B	50,000	46.44	n/a	3-Jun	2000.00	4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>5,000.00</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	28,141.01
TOTAL (AO, CXL, CRT) :	5,000.00

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>33,141.01</b>
---------------------------------	------------------

---

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