



## Daily Compliance Activity Report

Trade Date: 09/24/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	ADM	B	4,000	32.72	n/a	20-Sep	160.00	4.0
JP MORGAN VENTURES	046	AEO	B	10,000	14.74	n/a	2-Sep	500.00	5.0
MILLENNIUM PARTNERS ICSUS	041	AEO	B	45,000	14.80	n/a	2-Sep	1,800.00	4.0
WAGONHOUND/NIC	289	ALV	S	1,986	62.78	n/a	15-Sep	79.44	4.0
CASTLE ARK	031	AMZN	B	57,290	159.14	n/a	n/a	2,864.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>38.70</b>	<b>n/a</b>	<b>2-Sep</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	ANN	S	20,000	19.69	n/a	n/a	1,000.00	5.0
MILLENNIUM PARTNERS ICSUS	041	ANN	B	35,000	19.92	n/a	n/a	1,400.00	4.0
IRIDIAN ASSET MGMT.	036	ATML	S	262,310	7.76	n/a	n/a	13,115.50	5.0
KLEINHEINZ CAP PART	031	AU	SS	75,000	45.21	n/a	n/a	3,750.00	5.0
PZENA INV ADV	044	AVP	S	198,900	32.22	n/a	30-Jul	6,961.61	3.5
WAGONHOUND/NIC	289	AXL	B	62,056	9.08	n/a	4-Aug	1,861.68	3.0
HOLLIS CAPITAL	033	BAC	B	10,000	13.52	n/a	22-Sep	500.00	5.0
MATRIX ASSET ADV.	036	BAC	B	2,500	13.34	n/a	22-Sep	75.00	3.0
PIIONEER PATH	226	CAKE	S	50,000	26.11	n/a	23-Jul	1,500.00	3.0
CENTURION PARTNERS	041	COP	S	20,000	55.69	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	COV	B	37,800	39.17	n/a	n/a	1,890.00	5.0
ACK ASSET	028	DAN	B	32,000	11.89	n/a	2-Aug	960.00	3.0
BMO NESBITT BURNS	041	DAN	S	50,000	12.03	n/a	2-Aug	2,500.00	5.0
GREEN ARROW DOUG	040	DLM	B	50,000	12.79	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	DOW	C	40,000	27.86	n/a	24-Aug	2,000.00	5.0
BENCHMARK	025	EWS	B	6,500	13.21	n/a	n/a	260.00	4.0
ROYAL CAPITAL MGMT	070	FTR	B	100,000	7.90	n/a	n/a	4,000.00	4.0
OZ MGMT	040	F	C	103,434	12.55	n/a	2-Sep	3,103.02	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>39.19</b>	<b>n/a</b>	<b>26-Aug</b>	<b>400.00</b>	<b>4.0</b>
NOMURA CAPITAL	029	GGC	S	20,000	16.21	n/a	n/a	600.00	3.0
TOCQUEVILLE	067	GPN	S	49,225	41.01	n/a	n/a	2,461.25	5.0
ROARING BLUE LION MGMT	012	GYMB	S	600	43.82	n/a	2-Sep	24.00	4.0
MILLENNIUM PARTNERS ICSUS	041	HGG	B	10,000	24.79	n/a	n/a	400.00	4.0
CONIFER/ISF	025	IBM	B	2,500	133.74	n/a	n/a	125.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IPG	S	350,800	9.87	n/a	n/a	10,524.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	21.78	n/a	20-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	IR	S	7,000	35.45	n/a	26-Jul	350.00	5.0
PIONEER PATH	226	KMB	B	75,000	66.26	n/a	26-Jul	2,250.00	3.0
OZ MGMT	040	KMT	S	35,568	31.10	n/a	30-Jul	1,067.04	3.0
WAGONHOUND/NIC	289	LEA	B	1,631	73.78	n/a	4-Aug	65.24	4.0
ENTRUST CAPITAL	040	LOPE	SS	32,135	21.29	n/a	n/a	1,606.75	5.0
BROADARCH CAP/OLD NEWC	070	MGM	S	12,300	10.51	n/a	10-Sep	492.00	4.0
CATAPULT	040	MS	SS	30,000	25.16	n/a	22-Sep	1,200.00	4.0
MILLENNIUM PARTNERS ICSUS	041	M	B	10,000	22.77	n/a	2-Sep	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	M	B	288,650	22.71	n/a	2-Sep	8,659.50	3.0
BAIRD INVESTMENT	047	NBL	B	8,325	75.55	n/a	n/a	416.25	5.0
FEDERATED INV/KAUFMAN	029	PBR	S	100,000	35.50	n/a	n/a	5,500.01	5.5
TYEE/TYGH	035	PDCO	S	228,569	27.87	n/a	n/a	9,142.76	4.0
ROARING BLUE LION MGMT	012	PLCE	S	1,800	48.91	n/a	19-Aug	72.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RGS</b>	<b>B</b>	<b>30,000</b>	<b>19.14</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>80,000</b>	<b>88.50</b>	<b>n/a</b>	<b>5-Aug</b>	<b>3,200.00</b>	<b>4.0</b>
BENNETT LAWRENCE	028	ROST	S	3,900	56.44	n/a	n/a	156.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM PARTNERS ICSUS	041	RSH	B	10,000	21.35	n/a	n/a	400.00	4.0
ARCHON CAPITAL	035	SKX	S	72,700	21.92	n/a	n/a	2,181.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>22.02</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
GREEN ARROW DOUG	040	SONC	B	31,400	7.64	n/a	n/a	1,570.00	5.0
ENTRUST CAPITAL	040	TEL	S	35,900	28.95	n/a	n/a	1,795.00	5.0
MILLENNIUM PARTNERS ICSUS	041	TGT	SS	431	54.71	n/a	2-Sep	17.24	4.0
MILLENNIUM PARTNERS ICSUS	041	TGT	S	4,369	54.68	n/a	2-Sep	174.76	4.0
CENTURION PARTNERS	041	TLB	B	20,000	11.20	n/a	n/a	800.00	4.0
PIONEER PATH	226	TLB	S	60,000	11.75	n/a	n/a	1,800.00	3.0
DAWSON CAPITAL MGMT.	085	VRSN	B	33,660	31.86	n/a	n/a	1,683.00	5.0
CAERUS GLOBAL	041	WAG	S	15,000	30.40	n/a	n/a	600.00	4.0
SNYDER CAPITAL	033	WCN	S	3,300	39.58	n/a	n/a	132.00	4.0
BMO NESBITT BURNS	041	WCRX	B	7,000	23.06	n/a	24-Sep	280.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>30,000</b>	<b>49.63</b>	<b>n/a</b>	<b>6-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
MILLENNIUM PARTNERS	028	WY	S	25,000	16.30	n/a	26-Aug	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	XME	C	10,000	53.10	n/a	n/a	300.00	3.0

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**TOTAL (Trade Date):**

**122,325.55**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/23	NOMURA CAPITAL (NOMUEB6J)	029	GGC	S	200	16.10	n/a	n/a	6.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>6.00</b>

TOTAL (Trade Date):	122,325.55
TOTAL (AO, CXL, CRT):	6.00
<b>TOTAL (RUN DATE) / NFS:</b>	<b>122,331.55</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