



## Daily Compliance Activity Report

Trade Date: 10/06/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	ADBE	S	1,000	25.87	n/a	n/a	50.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>14.98</b>	<b>n/a</b>	<b>1-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	AFG	B	14,300	30.91	n/a	n/a	572.00	4.0
PARAMETER CAPITAL MGMT LLC	044	AMG	SS	10,000	81.82	n/a	2-Mar	400.00	4.0
MILLRACE FUND LP	028	ANF	B	15,000	38.54	n/a	1-Oct	600.00	4.0
JP MORGAN VENTURES	046	AOL	B	10,000	24.84	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	BAC	B	463	13.37	n/a	5-Oct	23.15	5.0
DIAMONDBACK CAP MGMT	232	BBT	B	50,000	24.40	n/a	n/a	2,500.00	5.0
GLOBAL 56 LLC	060	BONT	S	1,910	10.60	n/a	n/a	95.50	5.0
PATTEN & PATTEN	067	BPL	B	70	64.55	n/a	n/a	3.50	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.12	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	CHRW	SS	12,888	71.41	n/a	n/a	644.40	5.0
PIONEER PATH	226	CHS	B	35,000	9.99	n/a	5-Feb	1,050.00	3.0
RBC CAPITAL MARKETS	040	CLX	SS	5,000	67.29	n/a	24-Sep	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	COG	B	15,375	31.42	n/a	5-Oct	768.75	5.0
PATTEN & PATTEN	067	CTL	B	140	40.23	n/a	n/a	7.00	5.0
PATTEN & PATTEN	067	CVX	B	100	83.86	n/a	n/a	5.00	5.0
ACK ASSET	028	DAN	B	15,000	12.85	n/a	2-Aug	450.00	3.0
GOLD SACHS SPECIAL SIT	030	DAN	S	8,900	12.90	n/a	2-Aug	445.00	5.0
MAIRS AND POWER INV	030	DIS	B	10,000	33.50	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>B</b>	<b>20,000</b>	<b>28.67</b>	<b>n/a</b>	<b>19-Aug</b>	<b>800.00</b>	<b>4.0</b>
NEUSTRADA CAP LLC	085	DRI	B	20,300	43.59	n/a	29-Sep	609.00	3.0
PATTEN & PATTEN	067	DUK	B	399	17.72	n/a	n/a	19.95	5.0
ASCEND PARTNERS	033	FDO	SS	99,190	45.59	n/a	29-Sep	4,959.50	5.0
BALYASNY ASSET MGMT	044	F	SS	50,000	13.38	n/a	4-Oct	2,500.00	5.0
ROSEDALE CAPITAL	046	F	S	20,000	13.23	n/a	4-Oct	800.00	4.0
TALKOT CAPITAL LLC	084	F	SS	10,000	13.19	n/a	4-Oct	400.00	4.0
TROUBH PART	067	F	SS	25,000	13.17	n/a	4-Oct	1,250.00	5.0
ASCEND PARTNERS	033	GD	B	11,342	63.44	n/a	16-Sep	453.68	4.0
GREEN ARROW DOUG	040	GE	S	25,000	16.52	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	GE	B	141	16.91	n/a	n/a	7.05	5.0
RWC PARTNERS LTD	067	GE	B	1,439,000	16.89	n/a	n/a	43,170.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	GYMB	S	1,100	51.45	n/a	1-Oct	44.00	4.0
ROXBURY CAPITAL MGMT	035	HEK	S	5,400	4.00	n/a	n/a	108.00	2.0
ROTHSCHILD ASSET	040	HLS	S	132,170	19.28	n/a	n/a	5,286.80	4.0
ARMATURE CAPITAL	041	HON	SS	40,000	45.60	n/a	18-Aug	1,600.00	4.0
PATTEN & PATTEN	067	IFN	B	228	37.95	n/a	n/a	11.40	5.0
ROTHSCHILD ASSET	040	IM	S	3,710	17.20	n/a	n/a	148.40	4.0
IMPALA ASSET MMT	012	INT	S	20,200	26.91	n/a	n/a	808.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	22.30	n/a	20-Sep	3,250.00	5.0
HG VORA CAP MGMT LLC	025	IWM	B	5,000	68.40	n/a	n/a	200.00	4.0
DIAMONDBACK CAP MGMT	232	IYR	SS	100,000	54.08	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	JCP	SS	4,000	28.85	n/a	1-Oct	200.00	5.0
BMO NESBITT BURNS	041	JWN	B	3,000	37.39	n/a	1-Oct	150.00	5.0
RBC CAPITAL MARKETS	040	KSS	B	10,000	52.70	n/a	1-Oct	400.00	4.0
SAC CAPITAL/M GRONET	030	KSS	S	10,000	52.81	n/a	1-Oct	350.00	3.5
HG VORA CAP MGMT LLC	025	LVS	B	15,000	36.14	n/a	4-Oct	600.00	4.0
PATTEN & PATTEN	067	LYG	S	102	4.79	n/a	n/a	5.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HG VORA CAP MGMT LLC	025	MPEL	B	25,000	5.40	n/a	4-Oct	1,000.00	4.0
MILLENIUM PARTNERS	028	MTW	SS	30,000	11.92	n/a	3-Aug	1,200.00	4.0
ADAGE CAPITAL MGMT	030	M	S	400,000	23.25	n/a	1-Oct	12,000.00	3.0
BASIX	033	M	S	20,800	23.65	n/a	1-Oct	624.00	3.0
SAC CAPITAL/M GRONET	030	M	B	10,000	23.44	n/a	1-Oct	350.00	3.5
NEW JERSEY DIV OF INV.	030	NC	S	832	88.04	n/a	n/a	33.28	4.0
SAC ADV/LEE	044	OKE	S	50,000	47.51	n/a	n/a	1,750.00	3.5
CAVU CAP ADV	028	PCAR	SS	25,000	49.25	n/a	28-Jul	1,250.00	5.0
LISTED ERR	099	PCAR	B	8,543	49.47	n/a	28-Jul	0.00	0.0
LISTED ERR	099	PCAR	S	8,543	49.47	n/a	28-Jul	0.00	0.0
PATTEN & PATTEN	067	PID	B	650	15.10	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	PIO	B	800	18.34	n/a	n/a	40.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	1,300	50.20	n/a	19-Aug	52.00	4.0
PATTEN & PATTEN	067	PX	B	100	91.09	n/a	23-Aug	5.00	5.0
FIRST NEW YORK NICK	029	Q	B	10,000	6.41	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	RGA	B	9,600	48.98	n/a	n/a	384.00	4.0
SLS CAPITAL LLC	224	RIG	S	20,700	63.91	n/a	n/a	828.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	RPM	SS	10,000	20.19	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	SE	B	177	23.08	n/a	n/a	8.85	5.0
SAC ADV/LEE	044	SE	B	100,000	23.08	n/a	n/a	3,500.00	3.5
SIGMA CAPITAL ASSOCIATES	041	SKX	B	25,000	23.64	n/a	n/a	875.00	3.5
DIAMONDBACK CAP MGMT	232	SLG	B	25,000	64.50	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	SSCC	B	10,000	19.33	n/a	20-Sep	700.00	7.0
FIRST NY SEC/CHRIS	041	SSCC	B	30,000	19.31	n/a	20-Sep	1,500.00	5.0
HOLLIS CAPITAL	033	SSCC	B	5,000	19.70	n/a	20-Sep	250.00	5.0
MILLENIUM PARTNERS	028	TEX	B	20,000	23.81	n/a	23-Jul	800.00	4.0
PATTEN & PATTEN	067	T	S	154	28.55	n/a	n/a	7.70	5.0
BAIRD INVESTMENT	047	UA	S	7,700	44.67	n/a	28-Jul	385.00	5.0
COBALT	041	UFS	B	5,779	67.26	n/a	n/a	288.95	5.0
NEW JERSEY DIV OF INV.	030	USB	S	100,000	22.50	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	VMC	S	700	37.86	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	VZ	B	350	33.28	n/a	n/a	17.50	5.0
CAVU CAP ADV	028	WMT	B	17,500	54.43	n/a	29-Sep	875.00	5.0
PARAMETER CAPITAL MGMT LLC	044	WRB	SS	50,000	27.06	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	WRC	B	2,000	53.61	n/a	6-Aug	0.00	0.0
PATTEN & PATTEN	067	WY	B	500	16.07	n/a	26-Aug	25.00	5.0
CAVU CAP ADV	028	XRT	SS	37,400	41.87	n/a	n/a	1,870.00	5.0
HOLLIS CAPITAL	033	YUM	S	3,000	47.03	n/a	6-Oct	150.00	5.0
TOTAL (Trade Date):							122,981.96		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/05	COLUMBUS CIRCLE (COLC3060)	036	CSCO	S	1,089	21.95	n/a	n/a	21.78 2.0
AO,	10/05	COLUMBUS CIRCLE (COLC3060)	036	CSCO	S	90,841	21.94	n/a	n/a	3633.64 4.0
AO,	10/05	COLUMBUS CIRCLE (COLC3060)	036	CSCO	S	8,073	21.88	n/a	n/a	161.46 2.0
AO,CXL	10/05	GRYPHON CAPITAL MGMT (GRYPMSPB)	084	F	SS	100,000	12.99	n/a	4-Oct	3000.00 3.0
AO,CRT	10/05	GRYPHON CAPITAL MGMT (GRYPMSPB)	084	F	SS	100,000	12.99	n/a	4-Oct	2500.00 2.5
CRT	10/06	ROARING BLUE LION MGMT (ROARMAIN)	012	PLCE	S	1,300	50.20	n/a	19-Aug	52.00 4.0
AO,	10/05	COLUMBUS CIRCLE (COLC3050)	036	WLK	B	1,974	31.34	n/a	n/a	78.96 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,447.84</b>

TOTAL (Trade Date) :	122,981.96
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>126,429.80</b>
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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