



Daily Compliance Activity Report

Trade Date: 10/07/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	S	15,000	42.01	n/a	1-Oct	600.00	4.0
CAVU CAP ADV	028	ANF	B	35,000	42.11	n/a	1-Oct	1,750.00	5.0
PIONEER PATH	226	ANF	S	59,038	42.29	n/a	1-Oct	1,771.14	3.0
COUGAR TRADING	044	ARO	B	5,000	23.58	n/a	1-Oct	250.00	5.0
METROPOLITAN CAPITAL	044	ARO	B	15,000	23.37	n/a	1-Oct	750.00	5.0
LISTED ERR	099	ARO	B	1,000	23.37	n/a	1-Oct	0.00	0.0
LISTED ERR	099	ARO	S	1,000	23.34	n/a	1-Oct	0.00	0.0
PENNANT CAP MGMT	029	ATLS	B	80,000	29.89	n/a	n/a	2,400.00	3.0
SHEFFIELD ASSET MGMT	031	ATVI	B	200,000	11.19	n/a	n/a	6,000.00	3.0
MILLRACE FUND LP	028	AXL	S	60,000	8.71	n/a	4-Aug	1,800.00	3.0
BROADARCH CAP/OLD NEWC	070	BA	B	2,700	68.25	n/a	17-Sep	108.00	4.0
GRANITE CAPITAL	028	BEAV	SS	20,000	31.55	n/a	7-Oct	1,000.00	5.0
WEISS PECK	040	BEAV	S	19,960	31.30	n/a	7-Oct	998.00	5.0
CATAPULT	040	BMS	SS	10,000	32.97	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	BUCY	B	13,420	72.64	n/a	26-Jul	536.80	4.0
CAVU CAP ADV	028	CAT	B	20,000	78.91	n/a	23-Jul	1,000.00	5.0
TPG-AXON	040	CBE	SS	36,000	49.62	n/a	22-Jul	1,800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPIA CAPITAL	048	CCK	S	50,000	29.04	n/a	n/a	2,000.00	4.0
CATAPULT	040	CE	B	10,000	32.79	n/a	n/a	400.00	4.0
GALT INVESTMENT	041	CLUB	S	10,000	2.94	n/a	n/a	250.00	2.5
BALYASNY ASSET MGMT	044	CMA	SS	25,000	38.50	n/a	n/a	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	COL	B	2,300	58.90	n/a	21-Jul	92.00	4.0
FIRST NY SEC/CHRIS	041	CSCO	B	10,000	22.32	n/a	n/a	500.00	5.0
ACK ASSET	028	DAN	B	45,948	12.99	n/a	2-Aug	1,378.44	3.0
BROADARCH CAP/OLD NEWC	070	DOW	B	6,400	29.10	n/a	24-Aug	256.00	4.0
GREEN ARROW DOUG	040	DPS	B	25,000	34.65	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	DPZ	B	40,000	13.95	n/a	29-Sep	1,400.02	3.5
GRANITE CAPITAL	028	EMC	S	15,000	19.45	n/a	n/a	750.00	5.0
PENNANT CAP MGMT	029	EME	SS	20,000	24.91	n/a	n/a	600.00	3.0
AAD CAPITAL	084	FDO	SS	20,000	46.21	n/a	7-Oct	800.00	4.0
TALKOT CAPITAL LLC	084	F	SS	10,000	13.22	n/a	4-Oct	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	25,300	39.98	n/a	26-Aug	759.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	GGP	S	100,000	15.88	n/a	n/a	3,000.00	3.0
GALT INVESTMENT	041	GMAN	S	2,488	11.95	n/a	n/a	99.52	4.0
BUCK CAPITAL MGMT	001	GPS	B	200,000	18.41	n/a	n/a	8,000.00	4.0
DIAMONDBACK CAP MGMT	232	GPS	SS	50,000	18.56	n/a	n/a	2,500.00	5.0
KLEINHEINZ CAP PART	031	HD	SS	75,000	31.63	n/a	7-Oct	3,750.00	5.0
RBC CAPITAL MARKETS	040	HD	B	15,000	31.72	n/a	7-Oct	600.00	4.0
SCHOTTENFELD ASSOC	041	HD	B	20,000	31.67	n/a	7-Oct	600.00	3.0
LATEFF MGMT	035	HON	S	1,500	45.31	n/a	18-Aug	360.00	24.0
RBC CAPITAL MARKETS	040	HOT	B	15,000	54.69	n/a	8-Sep	600.00	4.0
TPG-AXON	040	ITW	SS	33,000	48.21	n/a	30-Jul	1,650.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	34.37	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	40,000	30.14	n/a	1-Oct	1,600.00	4.0
CAXTON PART	040	JPM	B	11,606	40.16	n/a	5-Oct	406.22	3.5
SAC CAPITAL/M GRONET	030	KSS	S	10,000	52.83	n/a	1-Oct	350.00	3.5
PARAMETER CAPITAL MGMT LLC	044	LRY	B	25,000	33.11	n/a	n/a	1,000.00	4.0
HG VORA CAP MGMT LLC	025	LVS	B	10,000	36.11	n/a	4-Oct	300.00	3.0
CAVU CAP ADV	028	MAR	S	30,000	35.64	n/a	7-Oct	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	MMM	SS	20,000	88.95	n/a	17-Sep	1,000.00	5.0
HG VORA CAP MGMT LLC	025	MPEL	B	25,000	5.46	n/a	4-Oct	750.00	3.0
DELTEC ASSET MGMT.	040	MTW	S	14,000	12.05	n/a	3-Aug	700.00	5.0
PENNANT CAP MGMT	029	NSR	SS	60,000	24.21	n/a	n/a	1,800.00	3.0
BENNETT LAWRENCE	028	OPEN	S	4,600	62.25	n/a	n/a	184.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	B	2,300	82.42	n/a	n/a	92.00	4.0
COHE & STEERS	041	PCL	S	56,600	36.03	n/a	26-Aug	2,264.00	4.0
CAXTON PART	040	PEP	B	38,684	65.78	n/a	n/a	1,353.98	3.5
CAVU CAP ADV	028	PH	S	10,000	70.34	n/a	4-Aug	500.00	5.0
NEW JERSEY DIV OF INV.	030	PNC	S	100,000	53.04	n/a	n/a	4,000.00	4.0
FIRST NEW YORK NICK	029	Q	B	30,000	6.39	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	RCL	S	20,000	33.10	n/a	n/a	800.00	4.0
ROXBURY CAPITAL MGMT	035	RFMD	S	540,740	6.22	n/a	n/a	21,629.60	4.0
PENNANT CAP MGMT	029	RIMM	SS	5,000	47.82	n/a	n/a	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	25,000	19.94	n/a	7-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	SWN	B	20,000	33.51	n/a	30-Sep	1,000.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.53	n/a	n/a	800.00	4.0
ASCEND PARTNERS	033	TGT	B	90,000	54.25	n/a	2-Sep	4,500.00	5.0
AVESTA CAP	229	TGT	C	100,000	54.48	n/a	2-Sep	3,000.00	3.0
CAMBIAR CAP	046	TGT	B	220,903	53.94	n/a	2-Sep	8,836.12	4.0
RBC CAPITAL MARKETS	040	TGT	B	25,000	54.42	n/a	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	TGT	SS	20,000	53.85	n/a	2-Sep	800.00	4.0
SANDELL ADV	028	TPCG	S	39,443	26.47	n/a	n/a	1,577.72	4.0
COBALT	041	UFS	B	21,344	66.91	n/a	n/a	1,067.20	5.0
GALT INVESTMENT	041	URBN	S	50,000	31.77	n/a	n/a	2,500.00	5.0
TPG-AXON	040	UTX	SS	23,000	72.88	n/a	n/a	1,150.00	5.0
FIRST NY SEC/CHRIS	041	VIAB	B	10,000	36.61	n/a	n/a	500.00	5.0
CAXTON PART	040	WFC	B	11,606	26.54	n/a	5-Oct	406.22	3.5
CAVU CAP ADV	028	WHR	B	10,000	80.26	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								125,725.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/07	MILLRACE FUND LP (MILRGS)	028	AXL	S	60,000	8.71	n/a	4-Aug	1800.00 3.0
AO,CXL	10/06	IMPALA ASSET MMT (IMPAUBS)	012	INT	S	19,445	26.91	n/a	n/a	777.80 4.0
AO,CXL	10/06	IMPALA ASSET MMT (IMPACITI)	012	INT	S	755	26.91	n/a	n/a	30.20 4.0
AO,CXL	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	IWM	B	5,000	68.40	n/a	n/a	200.00 4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	IWM	B	5,000	68.40	n/a	n/a	150.00 3.0
AO,CXL	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	LVS	B	15,000	36.14	n/a	4-Oct	600.00 4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	LVS	B	15,000	36.14	n/a	4-Oct	450.00 3.0
AO,CXL	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	MPEL	B	25,000	5.40	n/a	4-Oct	1000.00 4.0
AO,CRT	10/06	HG VORA CAP MGMT LLC (HGVOGSPB)	025	MPEL	B	25,000	5.40	n/a	4-Oct	750.00 3.0
AO,	10/06	CAMBIAR CAP (CAMB1114)	046	TGT	B	20	53.97	n/a	2-Sep	0.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB748)	046	TGT	B	37,000	53.97	n/a	2-Sep	1480.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1110)	046	TGT	B	90	53.97	n/a	2-Sep	3.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB682)	046	TGT	B	1,060	53.97	n/a	2-Sep	42.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB1107)	046	TGT	B	40	53.97	n/a	2-Sep	1.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB694)	046	TGT	B	2,300	53.97	n/a	2-Sep	92.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1111)	046	TGT	B	40	53.97	n/a	2-Sep	1.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB710)	046	TGT	B	320	53.97	n/a	2-Sep	12.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB1122)	046	TGT	B	270	53.97	n/a	2-Sep	10.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB743)	046	TGT	B	800	53.97	n/a	2-Sep	32.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1112)	046	TGT	B	130	53.97	n/a	2-Sep	5.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB714)	046	TGT	B	1,200	53.97	n/a	2-Sep	48.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1100)	046	TGT	B	110	53.97	n/a	2-Sep	4.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB535)	046	TGT	B	1,800	53.97	n/a	2-Sep	72.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	CAMBIAR CAP (CAMB1099)	046	TGT	B	270	53.97	n/a	2-Sep	10.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB18)	046	TGT	B	440	53.97	n/a	2-Sep	17.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB1098)	046	TGT	B	270	53.97	n/a	2-Sep	10.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB527)	046	TGT	B	20	53.97	n/a	2-Sep	0.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB1097)	046	TGT	B	270	53.97	n/a	2-Sep	10.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB520)	046	TGT	B	1,700	53.97	n/a	2-Sep	68.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1090)	046	TGT	B	60	53.97	n/a	2-Sep	2.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB525)	046	TGT	B	1,490	53.97	n/a	2-Sep	59.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB1085)	046	TGT	B	450	53.97	n/a	2-Sep	18.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB502)	046	TGT	B	750	53.97	n/a	2-Sep	30.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1087)	046	TGT	B	750	53.97	n/a	2-Sep	30.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB526)	046	TGT	B	1,600	53.97	n/a	2-Sep	64.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB667)	046	TGT	B	530	53.97	n/a	2-Sep	21.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB26)	046	TGT	B	430	53.97	n/a	2-Sep	17.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB1025)	046	TGT	B	5,600	53.97	n/a	2-Sep	224.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB25)	046	TGT	B	800	53.97	n/a	2-Sep	32.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1020)	046	TGT	B	60	53.97	n/a	2-Sep	2.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB24)	046	TGT	B	350	53.97	n/a	2-Sep	14.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB540)	046	TGT	B	6,300	53.97	n/a	2-Sep	252.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB21)	046	TGT	B	7,300	53.97	n/a	2-Sep	292.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB969)	046	TGT	B	110	53.97	n/a	2-Sep	4.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB20)	046	TGT	B	10,500	53.97	n/a	2-Sep	420.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB10)	046	TGT	B	10,147	53.97	n/a	2-Sep	405.88 4.0
AO,	10/06	CAMBIAR CAP (CAMB400)	046	TGT	B	620	53.97	n/a	2-Sep	24.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB42)	046	TGT	B	122,000	53.97	n/a	2-Sep	4880.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB972)	046	TGT	B	690	53.97	n/a	2-Sep	27.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB65)	046	TGT	B	10,000	53.97	n/a	2-Sep	400.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB971)	046	TGT	B	110	53.97	n/a	2-Sep	4.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB1148)	046	TGT	B	120	53.97	n/a	2-Sep	4.80 4.0
AO,	10/06	CAMBIAR CAP (CAMB43)	046	TGT	B	8,900	53.97	n/a	2-Sep	356.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	CAMBIAR CAP (CAMB970)	046	TGT	B	160	53.97	n/a	2-Sep	6.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB1121)	046	TGT	B	30	53.97	n/a	2-Sep	1.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB879)	046	TGT	B	850	53.97	n/a	2-Sep	34.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1142)	046	TGT	B	2,100	53.97	n/a	2-Sep	84.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB883)	046	TGT	B	2,000	53.97	n/a	2-Sep	80.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1141)	046	TGT	B	480	53.97	n/a	2-Sep	19.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB810)	046	TGT	B	50	53.97	n/a	2-Sep	2.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1125)	046	TGT	B	90	53.97	n/a	2-Sep	3.60 4.0
AO,	10/06	CAMBIAR CAP (CAMB831)	046	TGT	B	800	53.97	n/a	2-Sep	32.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1127)	046	TGT	B	530	53.97	n/a	2-Sep	21.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB832)	046	TGT	B	450	53.97	n/a	2-Sep	18.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB1128)	046	TGT	B	210	53.97	n/a	2-Sep	8.40 4.0
AO,	10/06	CAMBIAR CAP (CAMB767)	046	TGT	B	30	53.97	n/a	2-Sep	1.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB1131)	046	TGT	B	350	53.97	n/a	2-Sep	14.00 4.0
AO,	10/06	CAMBIAR CAP (CAMB)	046	TGT	B	30	53.97	n/a	2-Sep	1.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB1113)	046	TGT	B	180	53.97	n/a	2-Sep	7.20 4.0
AO,	10/06	CAMBIAR CAP (CAMB804)	046	TGT	B	640	53.97	n/a	2-Sep	25.60 4.0

TOTAL (AO, CXL, CRT) : **10,413.88**

TOTAL (Trade Date): 125,725.98

TOTAL (AO, CXL, CRT): 10,413.88

TOTAL (RUN DATE) / NFS: **136,139.86**

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