



Daily Compliance Activity Report

Trade Date: 06/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACV	B	36,300	27.14	n/a	4-Jun	1,415.70	3.9
BUCK CAPITAL MGMT	001	ANN	B	30,000	16.71	n/a	n/a	1,200.00	4.0
MILLRACE FUND LP	028	AXL	B	5,000	7.28	n/a	3-May	200.00	4.0
BALYASNY ASSET MGMT	044	BBY	S	20,000	34.19	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	BIDU	B	25,000	68.98	n/a	n/a	1,000.00	4.0
NWQ INVESTMENT MGMT CO	048	BKI	S	8,900	10.26	n/a	n/a	267.00	3.0
EXIS CAPITAL	044	BONT	S	7,311	10.07	n/a	n/a	365.55	5.0
Õ Nilsa Vazquez		BUCY	S	100	49.9400	n/a	30-Apr	0.00	0.0
CAERUS GLOBAL	041	BYI	B	24,390	32.54	n/a	n/a	975.60	4.0
CAVU CAP ADV	028	BYI	S	60,729	33.44	n/a	n/a	3,036.45	5.0
M&I FUNDS	047	CBE	S	10,077	45.18	n/a	27-May	403.08	4.0
BUCK CAPITAL MGMT	001	CHS	B	20,000	9.92	n/a	5-Feb	600.00	3.0
ROSEDALE CAPITAL	046	COG	B	10,000	31.53	n/a	3-Jun	500.00	5.0
CAERUS GLOBAL	041	CPB	SS	27,800	36.00	n/a	n/a	1,112.00	4.0
CAVU CAP ADV	028	CPB	B	21,664	35.94	n/a	n/a	1,083.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	CPB	B	17,800	36.02	n/a	n/a	0.00	0.0
LISTED ERR	099	CPB	S	17,800	36.02	n/a	n/a	0.00	0.0
MARINER/TRICADIA	041	CYBX	S	3,000	24.27	n/a	n/a	150.00	5.0
SANDLER O'NEILL ASSET	031	C	B	42,200	3.82	n/a	25-Jun	844.00	2.0
EXIS CAPITAL	044	DENN	S	25,000	2.59	n/a	n/a	1,250.00	5.0
MTB INV ADV	034	DHX	S	10,500	7.00	n/a	n/a	315.00	3.0
BUCK CAPITAL MGMT	001	EL	SS	10,000	55.93	n/a	7-Jun	400.00	4.0
BUCK CAPITAL MGMT	001	FL	B	20,000	13.13	n/a	16-Jun	800.00	4.0
CAVU CAP ADV	028	F	S	71,700	10.36	n/a	30-Jun	3,585.00	5.0
TRELLUS PARTNERS LP	028	F	SS	25,000	10.36	n/a	30-Jun	1,250.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		F		S	10,000	10.50	n/a	30-Jun	400.00 4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	32.10	n/a	28-May	400.00	4.0
TRUSTCO/SUNTRUST	040	GES	B	57,100	32.06	n/a	28-May	2,226.89	3.9
EMERSON CAPITAL MGMT	048	GE	B	16,500	14.57	n/a	n/a	825.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	29.66	n/a	14-May	800.00	4.0
STANDARD PACIFIC CAPITAL	040	GPS	SS	200,000	19.46	n/a	n/a	10,000.00	5.0
ISLE RIDGE PARTNERS	041	HD	SS	10,000	28.59	n/a	30-Jun	400.00	4.0
OZ MGMT	040	HD	C	58,387	28.82	n/a	30-Jun	1,751.61	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	HTZ	S	15,000	9.37	n/a	n/a	600.00	4.0
ISLE RIDGE PARTNERS	041	IP	B	5,000	22.93	n/a	28-Jun	200.00	4.0
HARBORWATCH/DIAMBACK	232	IR	B	15,000	35.50	n/a	27-May	750.00	5.0
MARINER/TRICADIA	041	IWM	B	10,000	62.22	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	JCG	B	5,000	37.16	n/a	n/a	250.00	5.0
ISLE RIDGE PARTNERS	041	JCI	S	5,000	27.26	n/a	16-Jun	200.00	4.0
MERRILL ASSET/BLACKROCK	266	JLL	S	6,659	66.77	n/a	n/a	266.36	4.0
BUCK CAPITAL MGMT	001	KMX	SS	40,000	19.94	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	040	K	SS	15,000	50.63	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	LL	B	10,000	23.82	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	LULU	B	40,000	38.22	n/a	n/a	2,000.00	5.0
JET CAPITAL/CHRIS	041	MDR	S	5,000	21.98	n/a	n/a	150.00	3.0
BROADARCH CAP/OLD NEWC	070	MGM	B	7,100	10.25	n/a	15-Jun	284.00	4.0
ARMATURE CAPITAL	041	MHK	B	10,000	46.67	n/a	n/a	400.00	4.0
M&I FUNDS	047	MWV	S	6,767	22.57	n/a	28-Jun	270.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	NCS	B	10,000	8.75	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	30,000	2.33	n/a	n/a	900.00	3.0
ROYCE TRADING	012	NYT	B	1,700	8.95	n/a	n/a	85.00	5.0
ARMATURE CAPITAL	041	OC	S	15,000	30.67	n/a	n/a	600.00	4.0
STANDARD PACIFIC CAPITAL	040	OC	B	35,000	29.76	n/a	n/a	1,750.00	5.0
ROYCE TRADING	012	OEH	B	500	7.55	n/a	n/a	25.00	5.0
ROYCE TRADING	012	OMG	B	5,000	24.65	n/a	n/a	250.00	5.0
ROYCE TRADING	012	ORI	B	5,000	12.30	n/a	n/a	250.00	5.0
ROYCE TRADING	012	OSG	B	5,000	38.55	n/a	n/a	250.00	5.0
ROYCE TRADING	012	PHH	B	5,000	19.25	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	PLCE	SS	7,600	44.45	n/a	3-Jun	380.00	5.0
SCOUT/UMB	047	PNRA	S	21,450	76.40	n/a	28-Apr	1,072.50	5.0
ISLE RIDGE PARTNERS	041	RCL	B	10,000	23.21	n/a	n/a	400.00	4.0
ROYCE TRADING	012	RDN	B	10,500	7.46	n/a	n/a	525.00	5.0
JET CAPITAL/CHRIS	041	RMBS	S	33,000	17.87	n/a	n/a	990.00	3.0
COHE & STEERS	041	RYN	S	196,366	44.54	n/a	28-Jun	7,854.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	040	SHW	B	30,000	69.31	n/a	23-Jun	1,500.00	5.0
TYEE/TYGH	035	SMG	B	91,200	44.82	n/a	17-Jun	3,648.00	4.0
JP MORGAN VENTURES	046	SPY	B	36,200	104.39	n/a	n/a	1,086.00	3.0
BAIRD INVESTMENT	047	SWN	B	10,925	39.36	n/a	17-Jun	546.25	5.0
ISLE RIDGE PARTNERS	041	TEN	B	5,000	21.65	n/a	n/a	200.00	4.0
BASIX	033	TEX	SS	25,000	18.90	n/a	30-Apr	750.00	3.0
LEVEL GLOBAL SHARED ACCT	257	URBN	C	50,000	35.26	n/a	n/a	1,500.00	3.0
ISLE RIDGE PARTNERS	041	VFC	B	4,800	72.06	n/a	14-May	192.00	4.0
JET CAPITAL/CHRIS	041	VOD	S	25,000	20.88	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	WMS	S	68,094	39.93	n/a	n/a	2,723.76	4.0
LEVEL GLOBAL SHARED ACCT	257	WSM	C	50,000	25.13	n/a	n/a	1,500.00	3.0
ISLE RIDGE PARTNERS	041	XHB	SS	5,000	14.52	n/a	n/a	200.00	4.0
ISLE RIDGE PARTNERS	041	XLB	SS	5,000	28.78	n/a	n/a	200.00	4.0
SLS CAPITAL LLC	224	XOM	B	44,700	57.62	n/a	n/a	1,788.00	4.0

TOTAL (Trade Date):

79,693.27

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/29	STELLIAM INV ADV (STLLGSBULK)	034	DAL	B	30,000	11.55	n/a	n/a	1500.00	5.0
AO,CRT	06/29	STELLIAM INV ADV (STLLMSEXEC)	034	DAL	B	30,000	11.55	n/a	n/a	1500.00	5.0
AO,CXL	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	S	115	66.22	n/a	n/a	5.75	5.0
AO,CRT	05/04	DSM CAPITAL PARTNERS (DSMCHERSMI)	032	IDXX	S	115	66.22	n/a	n/a	5.75	5.0
AO,CXL	06/25	SENATOR INVESTMENT GROUP (SENAMS)	036	MRK	S	100,000	35.85	n/a	n/a	3000.00	3.0
AO,CRT	06/25	SENATOR INVESTMENT GROUP (SENAGS)	036	MRK	S	100,000	35.85	n/a	n/a	3000.00	3.0
AO,CRT	06/29	ARCHON CAPITAL (ARCCMORGAN)	035	SKX	S	20,000	36.73	n/a	n/a	800.00	4.0
AO,CXL	06/29	ARCHON CAPITAL (ARCCUBS)	035	SKX	S	20,000	36.73	n/a	n/a	800.00	4.0
AO,CXL	06/23	CRAMER ROSENTHAL/SCOTT (CRSB2057)	012	SRE	B	1,040	47.89	n/a	n/a	41.60	4.0
AO,CXL	06/23	CRAMER ROSENTHAL/SCOTT (CRSB2058)	012	SRE	B	1,000	47.89	n/a	n/a	40.00	4.0
AO,	06/29	TOCQUEVILLE (TOCQAM3031)	067	SWK	B	1,000	50.53	n/a	n/a	50.00	5.0
AO,	06/29	TOCQUEVILLE (TOCQB05286)	067	SWK	B	16,000	50.53	n/a	n/a	800.00	5.0
AO,	06/29	TOCQUEVILLE (TOCQAM3023)	067	SWK	B	5,000	50.53	n/a	n/a	250.00	5.0
AO,	06/29	TOCQUEVILLE (TOCQB50278)	067	SWK	B	80,000	50.53	n/a	n/a	4000.00	5.0
AO,	06/29	ELM RIDGE ADVISORS (ELMRGS)	044	UFS	B	205,000	49.37	n/a	n/a	8200.00	4.0
TOTAL (AO, CXL, CRT) :										13,218.40	

TOTAL (Trade Date):

79,693.27

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13,218.40

TOTAL (RUN DATE) / NFS:

92,911.67

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