



Daily Compliance Activity Report

Trade Date: 09/02/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	075	AA	B	27,000	10.78	n/a	n/a	1,080.00	4.0
HOOVER INV. MGMT	033	AMG	B	33,100	68.77	n/a	2-Mar	1,324.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	60,000	35.05	n/a	2-Sep	2,400.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	16.56	n/a	n/a	2,000.00	4.0
ADAGE CAPITAL MGMT	030	ARO	SS	150,000	22.10	n/a	2-Sep	4,500.00	3.0
BUCK CAPITAL MGMT	001	ARO	S	90,000	21.93	n/a	2-Sep	3,600.00	4.0
PZENA INV ADV	044	AVT	B	200	23.84	n/a	n/a	7.02	3.5
CASTLEROCK	040	BBY	SS	127,219	32.88	n/a	n/a	5,088.76	4.0
BUCK CAPITAL MGMT	001	CAB	B	20,000	16.58	n/a	n/a	800.00	4.0
MACKLOWE ASSET MGMT	041	COST	B	60,000	58.28	n/a	n/a	2,400.00	4.0
MACKLOWE ASSET MGMT	041	COST	S	40,000	57.76	n/a	n/a	1,600.00	4.0
NEUBERGER BERMAN	036	COST	B	207,510	58.40	n/a	n/a	8,300.40	4.0
NEUBERGER BERMAN	036	CRK	S	64,100	21.90	n/a	n/a	2,564.00	4.0
BARROW HANLEY MEWHINNEY	031	C	B	50,000	3.89	n/a	2-Sep	1,750.00	3.5
STRONG/MARK GRONET	030	DAL	S	10,000	10.89	n/a	n/a	400.00	4.0
M&I FUNDS	047	DLTR	S	4,821	46.85	n/a	19-Aug	192.84	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAWSON SANBERG & CO	041	DRI	B	7,500	44.22	n/a	8-Jul	375.00	5.0
DAWSON SANBERG & CO	041	EAT	B	33,600	18.03	n/a	n/a	1,680.00	5.0
CATAPULT	040	FMC	S	11,000	64.50	n/a	n/a	550.00	5.0
1798 CAP/LOMBARD ASSET	040	GLD	S	16,700	122.29	n/a	n/a	835.00	5.0
ROTHSCHILD ASSET	040	GPI	S	18,470	27.30	n/a	4-Aug	738.80	4.0
NEUBERGER BERMAN	036	GTLS	S	16,300	16.57	n/a	n/a	652.00	4.0
CAVU CAP ADV	028	GT	S	25,000	10.10	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	HPQ	S	6,340	39.54	n/a	n/a	317.00	5.0
JET CAPITAL/CHRIS	041	HTZ	S	25,000	9.34	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	120,000	32.94	n/a	n/a	4,800.00	4.0
SANDLER CAPITAL	226	JOSB	B	35,000	42.68	n/a	n/a	1,750.00	5.0
TROUBH PART	067	LPX	B	10,000	7.24	n/a	26-Aug	500.00	5.0
BROADARCH CAP/OLD NEWC	070	MGM	S	20,000	9.25	n/a	12-Aug	800.00	4.0
THE JAY GOLDMAN	028	MPXL	S	50,000	4.21	n/a	1-Sep	2,000.00	4.0
IRIDIAN ASSET MGMT.	036	ORCL	S	7,320	22.51	n/a	n/a	366.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	OXY	B	10,000	77.42	n/a	n/a	350.00	3.5
METROPOLITAN CAPITAL	044	PLCE	S	18,000	45.77	n/a	19-Aug	900.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	2,800	46.26	n/a	19-Aug	112.00	4.0
ROXBURY CAPITAL MGMT	035	RFMD	B	463,670	5.20	n/a	n/a	18,546.80	4.0
BANK OF AMERICA/MERRILL	259	ROST	B	22,700	52.27	n/a	n/a	1,135.00	5.0
SOUTH POINT CAP	067	SAI	B	150,000	15.18	n/a	n/a	7,500.00	5.0
CATAPULT	040	SIVB	B	1,750	39.42	n/a	n/a	87.50	5.0
SYSTEMATIC FINANCIAL MGT	035	SKX	B	50,000	27.15	n/a	n/a	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	SPY	C	6,850	109.45	n/a	n/a	342.50	5.0
SOUTH POINT CAP	067	SPY	B	50,000	108.97	n/a	n/a	2,500.00	5.0
TALKOT CAPITAL LLC	084	SSCC	B	20,000	17.67	n/a	26-Aug	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	50,000	17.88	n/a	26-Aug	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	TIN	S	50,000	18.75	n/a	26-Aug	2,000.00	4.0
CATAPULT	040	TROW	SS	6,438	46.40	n/a	n/a	321.90	5.0
BARROW HANLEY MEWHINNEY	031	T	B	30,000	27.29	n/a	n/a	1,050.00	3.5
STRONG/MARK GRONET	030	UAUA	S	10,000	22.36	n/a	n/a	400.00	4.0
CATAPULT	040	USB	S	11,650	21.94	n/a	n/a	582.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	VQ	S	12,660	18.64	n/a	n/a	506.40	4.0
1798 CAP/LOMBARD ASSET	040	VXX	B	15,000	20.06	n/a	n/a	750.00	5.0
BROADARCH CAP/OLD NEWC	070	WYNN	S	1,200	82.56	n/a	1-Sep	48.00	4.0
BANK OF AMERICA/MERRILL	259	WYN	B	20,000	25.04	n/a	n/a	800.00	4.0
BARROW HANLEY MEWHINNEY	031	XL	B	30,000	18.68	n/a	n/a	1,050.00	3.5
RBC CAPITAL MARKETS	040	X	B	15,000	44.63	n/a	n/a	600.00	4.0
TOTAL (Trade Date) :								99,453.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/02	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	AA	B	25,900	10.78	n/a	n/a	1036.00 4.0
AO,CRT	09/01	MAIRS AND POWER INV (MAIRGROWTH)	030	TTC	S	9,752	51.51	n/a	n/a	487.60 5.0
AO,CXL	09/01	MORRISON/TLB/BAYPOINT (MORRSCHWAB)	040	TTC	S	9,752	51.51	n/a	n/a	487.60 5.0

TOTAL (AO, CXL, CRT) :	1,036.00
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TOTAL (Trade Date) :	99,453.42
TOTAL (AO, CXL, CRT) :	1,036.00

TOTAL (RUN DATE) / NFS :	100,489.42
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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