



Daily Compliance Activity Report

Trade Date: 06/29/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	ABFS	B	132,329	20.67	n/a	n/a	5,293.16	4.0
ROTHSCHILD ASSET	040	AIT	B	13,530	25.77	n/a	n/a	541.20	4.0
BALYASNY ASSET MGMT	044	ARM	S	15,000	13.78	n/a	n/a	750.00	5.0
MILLRACE FUND LP	028	AXL	B	20,000	7.55	n/a	3-May	600.00	3.0
ROYCE TRADING	012	BHE	S	1,000	16.85	n/a	n/a	50.00	5.0
HUNTER GLOBAL INVESTOR	067	BIDU	B	75,000	70.84	n/a	n/a	3,000.00	4.0
LATEFF MGMT	035	BLL	S	1,500	52.93	n/a	n/a	330.00	22.0
HARBORWATCH/DIAMBACK	232	CAT	C	10,000	60.88	n/a	12-May	500.00	5.0
PROSPECTOR PARTNERS LLC	036	CCE	B	10,000	25.91	n/a	n/a	400.00	4.0
CATAPULT	040	CPX	B	25,000	14.21	n/a	n/a	1,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	CWTR	S	41,401	3.47	n/a	n/a	1,242.03	3.0
RAINIER INV MGMT	035	CXO	S	91,550	56.56	n/a	n/a	3,662.00	4.0
SANDLER O'NEILL ASSET	031	C	S	42,200	3.83	n/a	25-Jun	844.00	2.0
STELLIAM INV ADV	034	DAL	B	30,000	11.55	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	DG	B	20,000	28.47	n/a	8-Jun	800.00	4.0
BALYASNY ASSET MGMT	044	DHR	S	15,000	37.96	n/a	n/a	750.00	5.0
MTB INV ADV	034	DIN	S	5,700	28.90	n/a	n/a	285.00	5.0
BALYASNY ASSET MGMT	044	DOV	B	12,500	41.86	n/a	n/a	625.00	5.0
RBC CAPITAL MARKETS	040	DOW	B	10,000	24.59	n/a	21-May	400.00	4.0
THE JAY GOLDMAN	028	FDO	B	10,000	38.11	n/a	3-Jun	400.00	4.0
ROYCE TRADING	012	FSS	S	2,500	6.10	n/a	n/a	125.00	5.0
RAINIER INV MGMT	035	FST	S	89,900	27.61	n/a	n/a	3,596.00	4.0
OZ MGMT	040	F	SS	250,000	10.09	n/a	3-Jun	7,500.00	3.0
SCOPUS FUND	041	F	B	25,000	9.94	n/a	3-Jun	1,250.00	5.0
METROPOLITAN CAPITAL	044	GSM	B	16,500	10.44	n/a	n/a	825.00	5.0
SCOPUS FUND	041	GYMB	S	17,600	41.43	n/a	10-Jun	880.00	5.0
THE JAY GOLDMAN	028	GYMB	SS	10,000	42.34	n/a	10-Jun	400.00	4.0
OZ MGMT	040	HD	C	29,154	28.82	n/a	19-May	874.62	3.0
BALYASNY ASSET MGMT	044	HON	C	10,000	39.47	n/a	31-Mar	500.00	5.0
BENCHMARK	025	HTGC	S	5,000	9.01	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	4,000	22.19	n/a	28-Jun	400.00	10.0
SF SENTRY	085	IR	B	5,000	35.41	n/a	27-May	250.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	10,000	27.08	n/a	n/a	400.00	4.0
Õ Ravi Sadarangani		JBSS	S	500	14.5400	n/a	n/a	0.00	0.0
MTB INV ADV	034	JCG	S	4,125	37.25	n/a	n/a	206.25	5.0
MATRIX ASSET ADV.	036	JCI	B	4,200	26.75	n/a	16-Jun	168.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	62,700	15.94	n/a	14-May	2,508.00	4.0
TRUSTCO/SUNTRUST	040	JNY	B	12,300	15.87	n/a	14-May	479.70	3.9
THOMPSON SIEGAL&WALMSLEY	029	JOYG	S	8,400	51.85	n/a	4-Jun	168.00	2.0
BUCK CAPITAL MGMT	001	JWN	S	30,000	33.28	n/a	4-Jun	1,200.00	4.0
GRANITE CAPITAL	028	KSS	B	5,000	47.61	n/a	4-Jun	250.00	5.0
BALYASNY ASSET MGMT	044	LCC	C	119,350	8.86	n/a	n/a	4,774.00	4.0
AAD CAPITAL	048	LPX	B	300,000	6.58	n/a	29-Jun	6,000.00	2.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	150,500	6.86	n/a	29-Jun	4,515.00	3.0
FIRST NEW YORK LEDDY	035	LPX	S	15,000	6.60	n/a	29-Jun	600.00	4.0
LATEFF MGMT	035	MRO	S	1,500	31.47	n/a	n/a	285.00	19.0
Õ Ravi Sadarangani		MWW	B	500	12.1400	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	PNRA	S	2,075	75.56	n/a	28-Apr	103.75	5.0
ROTHSCHILD ASSET	040	POL	B	43,882	8.74	n/a	n/a	1,755.28	4.0
BUCK CAPITAL MGMT	001	PSS	S	130,000	15.89	n/a	n/a	5,200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	21,800	45.92	n/a	26-May	872.00	4.0
MTB INV ADV	034	PVH	S	6,950	46.03	n/a	26-May	347.50	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	32,650	45.97	n/a	26-May	979.50	3.0
ROYCE TRADING	012	REX	S	2,500	16.87	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	74.33	n/a	20-May	400.00	4.0
ROYCE TRADING	012	SEH	S	10,000	9.61	n/a	n/a	500.00	5.0
ROYCE TRADING	012	SKS	S	15,000	8.00	n/a	n/a	750.00	5.0
ARCHON CAPITAL	035	SKX	S	20,000	36.73	n/a	n/a	800.00	4.0
SANDLER CAPITAL	226	SKX	S	64,400	38.07	n/a	n/a	3,864.00	6.0
TYEE/TYGH	035	SMG	B	85,000	43.98	n/a	17-Jun	3,400.00	4.0
ROYCE TRADING	012	SM	S	5,000	42.28	n/a	n/a	250.00	5.0
ROYCE TRADING	012	SOA	S	8,000	13.47	n/a	n/a	400.00	5.0
BALYASNY ASSET MGMT	044	TIN	B	12,500	20.50	n/a	28-Jun	625.00	5.0
BASIX	033	TIN	B	12,000	20.49	n/a	28-Jun	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	TIN	S	5,000	20.41	n/a	28-Jun	500.00	10.0
CRAMER ROSENTHAL/SCOTT	012	TTWO	B	4,100	9.48	n/a	n/a	164.00	4.0
CATAPULT	040	USB	S	15,000	22.77	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	USG	B	7,000	12.42	n/a	28-Jun	700.00	10.0
BUCK CAPITAL MGMT	001	WMS	S	50,000	40.91	n/a	n/a	2,000.00	4.0
Õ Ravi Sadarangani		WNC	B	500	7.3000	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		WNC	B	500	7.3100	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	WY	B	15,000	35.39	n/a	28-Jun	600.00	4.0
JP MORGAN VENTURES	046	XRT	B	20,000	36.16	n/a	n/a	600.00	3.0
TOTAL (Trade Date) :								87,622.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/29	MILLRACE FUND LP (MILRGS)	028	AXL	B	20,000	7.55	n/a	3-May	600.00 3.0
AO,CXL	06/25	AMBER CAPITAL (AMBRUBS)	046	C	B	238,801	3.93	n/a	25-Jun	9552.04 4.0
AO,CRT	06/25	AMBER CAPITAL (AMBRUBS)	046	C	B	238,801	3.93	n/a	25-Jun	4776.02 2.0
AO,CXL	06/25	AMBER CAPITAL (AMBRAMFGS)	046	C	B	77,199	3.93	n/a	25-Jun	3087.96 4.0
AO,CRT	06/25	AMBER CAPITAL (AMBRAMFGS)	046	C	B	77,199	3.93	n/a	25-Jun	1543.98 2.0
AO,	06/25	ROTHSCHILD ASSET (ROTH3791)	040	FOR	S	120	18.10	n/a	28-Jun	4.80 4.0
AO,CXL	06/25	ROTHSCHILD ASSET (ROTH3793)	040	FOR	S	120	18.10	n/a	28-Jun	4.80 4.0
AO,	06/23	ROTHSCHILD ASSET (ROTH100120)	040	TSN	B	957	17.67	n/a	n/a	38.28 4.0
AO,CXL	06/23	ROTHSCHILD ASSET (&ROTHCLOSE)	040	TSN	B	957	17.67	n/a	n/a	38.28 4.0
CRT	06/29	JP MORGAN VENTURES (JPMVJPM)	046	XRT	B	20,000	36.16	n/a	n/a	600.00 3.0

TOTAL (AO, CXL, CRT) :**-5,120.00**

TOTAL (Trade Date):

87,622.99

TOTAL (AO, CXL, CRT):

-5,120.00

TOTAL (RUN DATE) / NFS:**82,502.99**

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