



Daily Compliance Activity Report

Trade Date: 09/27/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	AAI	S	200,000	7.36	n/a	n/a	6,000.00	3.0
TRUSTCO/SUNTRUST	040	ACV	S	133,561	37.85	n/a	27-Jul	4,674.76	3.5
JP MORGAN VENTURES	046	AEO	B	15,000	14.81	n/a	2-Sep	750.00	5.0
PIONEER PATH	226	ANN	B	20,500	20.37	n/a	n/a	615.00	3.0
MERRILL ASSET/BLACKROCK	266	AVP	S	82,710	31.62	n/a	30-Jul	3,308.40	4.0
SCOPUS FUND	041	AXL	SS	50,000	9.31	n/a	4-Aug	2,500.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.71	n/a	n/a	800.00	4.0
TOCQUEVILLE	067	CRDN	S	25,000	24.17	n/a	n/a	0.00	0.0
TROUBH PART	067	DAN	B	50,000	12.22	n/a	2-Aug	2,500.00	5.0
TOCQUEVILLE	067	DBD	S	37,000	30.74	n/a	16-Sep	1,850.00	5.0
ONE EAST CAP ADV LP	048	DTG	S	5,000	50.98	n/a	n/a	250.00	5.0
CONIFER/ISF	025	DV	S	1,500	45.55	n/a	n/a	75.00	5.0
HIGHBRIDGE CAP	041	EMC	S	308,500	21.58	n/a	n/a	9,255.00	3.0
RBC CAPITAL MARKETS	040	FDO	B	30,000	43.10	n/a	27-Sep	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	FOSL	B	30,553	53.31	n/a	n/a	1,222.12	4.0
RBC CAPITAL MARKETS	040	FO	B	10,000	49.37	n/a	n/a	400.00	4.0
BENNETT LAWRENCE	028	FTNT	B	18,350	24.76	n/a	n/a	734.00	4.0
KLEINHEINZ CAP PART	031	GIL	B	25,000	28.03	n/a	27-Sep	1,250.00	5.0
Õ Nilsa Vazquez		GLD	S	200	126.62	10	n/a	n/a	0.00 0.0
JMP ASSET MGMT	210	GMCR	B	10,500	37.69	n/a	n/a	525.00	5.0
Õ Nilsa Vazquez		GWR	S	200	42.53	10	n/a	n/a	0.00 0.0
JP MORGAN VENTURES	046	HBI	B	25,000	24.67	n/a	27-Sep	1,000.00	4.0
NWQ INVESTMENT MGMT CO	084	HCC	S	4,700	26.14	n/a	n/a	188.00	4.0
ROXBURY CAPITAL MGMT	035	HEK	S	4,091	4.00	n/a	n/a	81.82	2.0
HIGHBRIDGE CAP	041	HNZ	SS	50,000	47.90	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	IP	S	75,606	21.81	n/a	20-Sep	3,780.30	5.0
KACELA CAPITAL	034	ITW	B	12,400	47.17	n/a	30-Jul	496.00	4.0
BMO NESBITT BURNS	041	KG	B	12,000	9.92	n/a	27-Sep	360.00	3.0
ADAGE CAPITAL MGMT	030	KR	S	292,776	21.97	n/a	n/a	8,783.28	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	KSS	B	10,000	52.22	n/a	2-Sep	400.00	4.0
EGS ASSOCIATES LP	091	LVS	B	4,500	34.85	n/a	10-Sep	270.00	6.0
SURVEYOR CAPITAL	041	LVS	B	20,000	34.10	n/a	10-Sep	600.00	3.0
BUCK CAPITAL MGMT	001	MFB	S	15,000	29.05	n/a	n/a	600.00	4.0
DELTEC ASSET MGMT.	040	MTW	B	14,000	10.10	n/a	3-Aug	700.00	5.0
GCORE MANAGEMENT	041	MWW	B	15,000	12.45	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	NWL	B	15,000	17.69	n/a	n/a	600.00	4.0
PLATTE RIVER CAPITAL	240	PEG	S	35,000	33.07	n/a	n/a	1,400.00	4.0
SCOPUS FUND	041	ROST	B	20,000	55.76	n/a	n/a	1,000.00	5.0
HOLLIS CAPITAL	033	SSCC	B	5,000	19.12	n/a	20-Sep	250.00	5.0
HIGHBRIDGE CAP	041	SWY	SS	50,000	21.08	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	TGT	S	80,000	54.48	n/a	2-Sep	3,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	54.45	n/a	2-Sep	875.00	3.5
BALYASNY ASSET MGMT	044	TLB	B	50,000	12.37	n/a	n/a	2,500.00	5.0
CASTLEROCK	040	TLB	B	163,805	12.45	n/a	n/a	6,552.20	4.0
RBC CAPITAL MARKETS	040	TPX	B	5,000	29.14	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	TROW	SS	20,000	50.16	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	TXN	SS	50,000	26.83	n/a	n/a	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	WFC	B	25,000	25.83	n/a	22-Sep	1,250.00	5.0
RBC CAPITAL MARKETS	040	WMS	SS	15,000	36.75	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	WMT	SS	10,000	53.79	n/a	7-Sep	400.00	4.0
DAWSON CAPITAL MGMT.	085	WRC	B	9,100	50.20	n/a	6-Aug	455.00	5.0
RBC CAPITAL MARKETS	040	WYNN	B	5,000	87.91	n/a	10-Sep	200.00	4.0
RBC CAPITAL MARKETS	040	WYNN	SS	5,000	88.51	n/a	10-Sep	200.00	4.0
TOTAL (Trade Date) :								80,700.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/27	EGS ASSOCIATES LP (EGASBANC O)	091	LVS	B	4,500	34.85	n/a	10-Sep	270.00 6.0
AO,CXL	09/22	SURVEYOR CAPITAL (SURVCDRGS)	041	M	SS	140,000	21.79	n/a	2-Sep	0.00 0.0
AO,	09/22	SURVEYOR CAPITAL (SURVCDRGS)	041	M	SS	140,000	21.79	n/a	2-Sep	4200.00 3.0
TOTAL (AO, CXL, CRT) :										4,470.00
TOTAL (Trade Date) :										80,700.88
TOTAL (AO, CXL, CRT) :										4,470.00
TOTAL (RUN DATE) / NFS:										85,170.88

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