



## Daily Compliance Activity Report

Trade Date: 10/11/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUSS CAPITAL	025	ADBE	B	10,000	27.05	n/a	n/a	300.00	3.0
BERMAN CAPITAL MGMT	046	AEO	S	25,000	17.00	n/a	11-Oct	750.00	3.0
CATAPULT	040	AGU	SS	10,000	83.20	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	APD	S	12,885	82.62	n/a	8-Oct	644.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>424,100</b>	<b>25.74</b>	<b>n/a</b>	<b>11-Oct</b>	<b>16,964.00</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	S	5,000	24.90	n/a	11-Oct	250.00	5.0
ROTHSCHILD ASSET	040	AWH	B	3,500	56.26	n/a	n/a	140.00	4.0
MILLENIUUM PARTNERS	028	AXL	SS	35,000	9.02	n/a	11-Oct	1,400.00	4.0
MILLRACE FUND LP	028	AXL	SS	5,600	9.03	n/a	11-Oct	168.00	3.0
BROADARCH CAP/OLD NEWC	070	A	S	3,300	33.71	n/a	n/a	132.00	4.0
PATTEN & PATTEN	067	BDX	S	4,840	74.97	n/a	n/a	242.00	5.0
LEVIN CAPITAL STRATEGIES	012	BK	S	20,000	26.51	n/a	8-Oct	600.00	3.0
JP MORGAN VENTURES	046	BWS	S	20,000	12.46	n/a	n/a	1,000.00	5.0
SCOPIA CAPITAL	048	CCK	S	64,764	28.71	n/a	n/a	2,590.56	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>75,000</b>	<b>10.87</b>	<b>n/a</b>	<b>5-Feb</b>	<b>3,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM PARTNERS ICSUS	041	COP	B	25,000	59.94	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	CPB	B	9,400	35.86	n/a	n/a	376.00	4.0
&PRO	036	CPB	B	600	35.86	n/a	n/a	24.00	4.0
ROTHSCHILD ASSET	040	CRI	S	36,552	27.80	n/a	n/a	1,462.08	4.0
MILLENNIUM PARTNERS ICSUS	041	CVX	S	25,000	83.70	n/a	n/a	1,250.00	5.0
TROUBH PART	067	DAN	S	50,000	13.22	n/a	2-Aug	2,500.00	5.0
GRUSS CAPITAL	025	DBA	B	10,000	28.43	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	DELL	SS	6,900	13.72	n/a	n/a	276.00	4.0
HARBORWATCH/DIAMBACK	232	DOW	C	25,000	29.82	n/a	8-Oct	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	FO	C	10,000	55.35	n/a	n/a	300.00	3.0
CATAPULT	040	GCI	B	75,000	13.71	n/a	n/a	3,000.00	4.0
PATTEN & PATTEN	067	GE	B	1,000	17.01	n/a	n/a	50.00	5.0
BALYASNY ASSET MGMT	044	GPS	C	20,000	18.60	n/a	n/a	1,000.00	5.0
CAVU CAP ADV	028	GPS	B	35,000	18.40	n/a	n/a	1,750.00	5.0
GALT INVESTMENT	041	GPS	B	40,000	18.41	n/a	n/a	1,600.00	4.0
DSM CAPITAL PARTNERS	085	GYMB	S	9,750	64.86	n/a	8-Oct	487.50	5.0
METROPOLITAN CAPITAL	044	GYMB	S	23,500	64.94	n/a	8-Oct	1,175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	GYMB	S	10,000	65.00	n/a	8-Oct	400.00	4.0
SPARTA ASSET MGMT	035	GYMB	S	25,000	65.00	n/a	8-Oct	750.00	3.0
PATTEN & PATTEN	067	INTC	B	1,000	19.60	n/a	n/a	50.00	5.0
TALKOT CAPITAL LLC	084	IP	B	5,000	22.45	n/a	7-Oct	200.00	4.0
PRIMECAP MGMT	084	JBLU	B	16,400	6.44	n/a	n/a	820.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	SS	25,000	39.03	n/a	11-Oct	875.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>B</b>	<b>175,000</b>	<b>6.97</b>	<b>n/a</b>	<b>7-Oct</b>	<b>5,250.00</b>	<b>3.0</b>
LEVIN CAPITAL STRATEGIES	012	LM	S	15,000	31.01	n/a	2-Mar	450.00	3.0
SLS CAPITAL LLC	224	LNC	B	44,400	25.25	n/a	n/a	1,776.00	4.0
ROTHSCHILD ASSET	040	LXK	S	11,800	44.09	n/a	n/a	472.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>10,000</b>	<b>26.88</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
CATAPULT	040	MOO	SS	10,000	48.95	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	028	MPXL	B	50,000	5.65	n/a	4-Oct	2,000.00	4.0
PATTEN & PATTEN	067	NSRGY	B	1,700	54.23	n/a	n/a	85.00	5.0
CATAPULT	040	OI	SS	10,000	26.40	n/a	n/a	400.00	4.0
PIONEER PATH	226	OMX	B	10,912	14.35	n/a	n/a	327.36	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	PCAR	C	10,000	50.27	n/a	28-Jul	300.00	3.0
COHE & STEERS	041	PCL	S	45,680	35.93	n/a	26-Aug	1,827.20	4.0
PIONEER PATH	226	PLCE	B	14,700	53.60	n/a	11-Oct	441.00	3.0
WAGONHOUND/NIC	289	PLCE	S	5,225	54.80	n/a	11-Oct	209.00	4.0
PATTEN & PATTEN	067	RHHBY	B	1,500	36.05	n/a	n/a	75.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>30,000</b>	<b>93.68</b>	<b>n/a</b>	<b>5-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	SAI	S	15,000	16.03	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	B	50,000	26.01	n/a	29-Sep	1,750.00	3.5
PIONEER PATH	226	TGT	S	20,000	54.89	n/a	11-Oct	600.00	3.0
WHITE PINE CAPITAL	030	TQNT	SS	6,500	9.15	n/a	n/a	325.00	5.0
DIAMONDBACK CAP MGMT	232	TYC	B	50,000	37.20	n/a	18-Aug	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	TYC	S	25,000	37.11	n/a	18-Aug	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	TYC	SS	60,000	37.39	n/a	18-Aug	1,800.00	3.0
ST OF MICHIAN	047	UNH	S	485,500	34.74	n/a	n/a	14,565.00	3.0
LEVIN CAPITAL STRATEGIES	012	VOD	S	25,000	25.90	n/a	n/a	750.00	3.0
COLUMBUS CIRCLE	036	WLK	B	4,100	32.55	n/a	n/a	164.00	4.0
PATTEN & PATTEN	067	WY	B	3,253	15.76	n/a	26-Aug	162.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	XLNX	SS	3,600	26.57	n/a	n/a	144.00	4.0
<b>TOTAL (Trade Date):</b>								<b>90,099.60</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/07	COBALT (COBAGS)	041	UFS	B	321	66.91	n/a	n/a	16.05 5.0
AO,CRT	10/07	COBALT (COBAGS)	041	UFS	B	300	66.91	n/a	n/a	15.00 5.0
AO,CXL	10/07	COBALT (COBAUBS)	041	UFS	B	21,023	66.91	n/a	n/a	1051.15 5.0
AO,CRT	10/07	COBALT (COBAUBS)	041	UFS	B	21,044	66.91	n/a	n/a	1052.20 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	90,099.60
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>90,099.60</b>
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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