



Daily Compliance Activity Report

Trade Date: 09/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	450	265.81	n/a	n/a	13.50	3.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	12,500	57.80	n/a	2-Aug	375.00	3.0
TROUBH PART	067	BAC	B	25,000	13.83	n/a	20-Aug	1,250.00	5.0
EPOCH INV MGMT	030	BA	B	1,850	64.77	n/a	2-Sep	55.50	3.0
EVERCORE WEALTH MGMT	012	CE	B	5,125	28.81	n/a	n/a	256.25	5.0
EPOCH INV MGMT	030	CMS	B	3,650	17.62	n/a	n/a	109.50	3.0
EPOCH INV MGMT	030	COL	B	2,300	58.11	n/a	21-Jul	69.00	3.0
METROPOLITAN CAPITAL	044	DAN	B	7,200	10.23	n/a	2-Aug	360.00	5.0
OZ MGMT	040	DAN	B	50,000	10.16	n/a	2-Aug	1,500.00	3.0
EPOCH INV MGMT	030	DHR	B	2,450	39.69	n/a	n/a	73.50	3.0
BMO NESBITT BURNS	041	ENDP	B	3,000	28.54	n/a	9-Sep	210.00	7.0
MILLENIUM-DOUG	040	FL	SS	20,000	13.07	n/a	20-Aug	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	FL	B	75,000	13.30	n/a	20-Aug	3,000.00	4.0
O CAPITAL MGMT	029	FOR	B	4,000	15.60	n/a	26-Aug	200.00	5.0
LEVIN CAPITAL STRATEGIES	012	FO	B	50,000	48.10	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	IP	S	20,000	21.94	n/a	26-Aug	800.00	4.0
ARMATURE CAPITAL	041	IR	SS	30,000	34.38	n/a	26-Jul	1,200.00	4.0
WHITE PINE CAPITAL	030	IWC	C	10,000	39.51	n/a	n/a	500.00	5.0
BUTTE CAPITAL MGMT LLC	084	JOYG	S	10,000	65.01	n/a	2-Sep	500.00	5.0
HUNTER GLOBAL INVESTOR	067	KCG	S	35,300	12.60	n/a	n/a	1,235.50	3.5
BMO NESBITT BURNS	041	KG	B	2,000	9.36	n/a	9-Sep	140.00	7.0
SAC CAPITAL/M GRONET	030	KSS	B	15,000	48.49	n/a	2-Sep	525.00	3.5
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	73.09	n/a	4-Aug	300.00	3.0
HOPLITE MGMT	025	LO	S	34,585	80.50	n/a	n/a	1,729.25	5.0
EPOCH INV MGMT	030	MSFT	B	10,200	24.13	n/a	n/a	306.00	3.0
EVERCORE WEALTH MGMT	012	MSFT	S	2,500	24.09	n/a	n/a	125.00	5.0
SAC CAPITAL/M GRONET	030	M	B	15,000	20.57	n/a	2-Sep	525.00	3.5
PLATTE RIVER CAPITAL	240	NAV	B	25,000	41.43	n/a	n/a	1,000.00	4.0
HOPLITE MGMT	025	PG	B	220,000	60.49	n/a	7-Sep	11,000.00	5.0
STERLING JOHNSTON	035	PLCE	B	24,500	47.61	n/a	19-Aug	980.00	4.0
VISIUM/BALY BOBBY	044	PLCE	C	10,000	47.63	n/a	19-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	PRU	B	1,250	54.74	n/a	n/a	37.50	3.0
WHALE ROCK CAP	030	PVH	B	45,624	54.88	n/a	9-Sep	1,824.96	4.0
WHITE PINE CAPITAL	030	QQQQ	C	1,500	46.45	n/a	n/a	75.00	5.0
CHART WELL ADV	028	RAX	B	23,150	20.94	n/a	n/a	926.00	4.0
PROSPECTOR PARTNERS LLC	036	SJT	S	5,097	22.68	n/a	n/a	203.88	4.0
IRIDIAN ASSET MGMT.	036	SKX	B	43,520	22.85	n/a	n/a	2,176.00	5.0
WHITE PINE CAPITAL	030	SPY	C	2,500	111.13	n/a	n/a	125.00	5.0
TALKOT CAPITAL LLC	084	SSCC	B	5,000	18.15	n/a	26-Aug	200.00	4.0
ARMATURE CAPITAL	041	TEN	B	20,000	25.61	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	TEVA	B	54,150	54.48	n/a	9-Sep	1,624.50	3.0
MACKLOWE ASSET MGMT	041	WMT	B	45,000	51.96	n/a	7-Sep	1,800.00	4.0
PEREGRINE	030	WNC	B	50,000	6.83	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	100,000	47.84	n/a	6-Aug	3,000.00	3.0
TOTAL (Trade Date) :								46,130.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/02	LOMBARDIA CAP MGMT (LOMBNYTRAT)	084	COGT	S	311	11.10	n/a	n/a	15.55	5.0
AO,CRT	09/02	LOMBARDIA CAP MGMT (LOMBNYTRCP)	084	COGT	S	311	11.10	n/a	n/a	15.55	5.0
AO,	09/08	NOMURA CAPITAL (NOMUBSMAIN)	029	FCN	S	9,900	33.51	n/a	n/a	297.00	3.0
AO,	09/08	O CAPITAL MGMT (OCAPGS)	029	FOR	B	3,000	15.88	n/a	26-Aug	150.00	5.0
CRT	09/09	O CAPITAL MGMT (OCAPGS)	029	FOR	B	4,000	15.60	n/a	26-Aug	200.00	5.0
AO,CXL	09/08	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	KCG	S	84,492	12.48	n/a	n/a	25.35	0.0
AO,	09/08	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	KCG	S	84,492	12.48	n/a	n/a	2957.22	0.0
AO,	09/08	COLUMBUS CIRCLE (COLC3050)	036	NZ	S	147	23.07	n/a	n/a	1.10	0.7
AO,	09/08	COLUMBUS CIRCLE (COLC3050)	036	NZ	S	8,753	22.49	n/a	n/a	350.12	4.0
AO,CXL	09/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	PVH	S	18,200	55.10	n/a	9-Sep	728.00	4.0
AO,CRT	09/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	PVH	S	18,100	55.10	n/a	9-Sep	724.00	4.0
AO,	09/08	BUCK CAPITAL MGMT (BUCKGIL)	001	PVH	S	100	55.10	n/a	9-Sep	4.00	4.0
TOTAL (AO, CXL, CRT) :										3,930.09	
TOTAL (Trade Date) :										46,130.84	
TOTAL (AO, CXL, CRT) :										3,930.09	
TOTAL (RUN DATE) / NFS:										50,060.93	



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