



Daily Compliance Activity Report

Trade Date: 09/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ANF	S	10,000	34.76	n/a	2-Sep	400.00	4.0
TROUBH PART	067	APC	B	10,000	53.03	n/a	4-Aug	500.00	5.0
RBC CAPITAL MARKETS	040	ARO	B	40,000	22.55	n/a	2-Sep	1,600.00	4.0
PZENA INV ADV	044	AVT	B	45,116	24.85	n/a	n/a	1,579.20	3.5
Õ Michael Ehrlich		CM	S	300	71.8510	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	12.87	n/a	n/a	400.00	4.0
BROOKSIDE CAPITAL PART	067	C	B	550,000	3.93	n/a	2-Sep	16,500.00	3.0
RBC CAPITAL MARKETS	040	DRI	SS	5,000	44.88	n/a	8-Jul	200.00	4.0
GRUSS CAPITAL	025	DVN	B	15,000	63.09	n/a	11-Aug	450.00	3.0
VISIUM/BALY BOBBY	044	FDO	SS	10,000	42.84	n/a	2-Sep	500.00	5.0
O CAPITAL MGMT	029	FOR	B	3,000	15.15	n/a	26-Aug	150.00	5.0
RBC CAPITAL MARKETS	040	FO	SS	5,000	47.74	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	GGP	S	5,000	14.65	n/a	n/a	200.00	4.0
SPARTA ASSET MGMT	035	GYMB	B	10,000	38.02	n/a	2-Sep	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	HAR	B	38,860	32.09	n/a	6-Aug	1,554.40	4.0
PARTNER REINSURANCE	033	HD	B	23,150	29.68	n/a	17-Aug	926.00	4.0
CARDINAL CAPITAL	044	HEW	S	15,660	49.23	n/a	n/a	783.00	5.0
ARMATURE CAPITAL	041	JCI	B	25,000	28.61	n/a	8-Sep	1,000.00	4.0
WATERFRONT CAP	028	KR	B	140,000	21.29	n/a	n/a	5,600.00	4.0
LATEFF MGMT	035	LOW	B	4,000	21.63	n/a	16-Aug	440.00	11.0
BUCK CAPITAL MGMT	001	MFB	S	5,000	28.32	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	MGM	B	10,000	10.32	n/a	10-Sep	400.00	4.0
TROUBH PART	067	MGM	B	25,000	10.52	n/a	10-Sep	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	NVE	S	10,000	13.08	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	20,000	23.84	n/a	26-Aug	1,000.00	5.0
SAC CAPITAL/M GRONET	030	PTEN	S	200,000	16.29	n/a	n/a	0.00	0.0
COHE & STEERS	041	RYN	S	2,623	48.13	n/a	26-Aug	104.92	4.0
GREEN ARROW DOUG	040	SJM	B	40,000	61.20	n/a	n/a	2,000.00	5.0
PROSPECTOR PARTNERS LLC	036	SJT	S	25,000	22.58	n/a	n/a	1,000.00	4.0
TALKOT CAPITAL LLC	084	SSCC	B	5,000	18.49	n/a	26-Aug	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	SSCC	B	30,000	18.46	n/a	26-Aug	1,200.00	4.0
JP MORGAN VENTURES	046	TGT	SS	10,000	52.89	n/a	2-Sep	500.00	5.0
RBC CAPITAL MARKETS	040	TIF	SS	5,000	42.30	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	41.46	n/a	2-Sep	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	TLB	SS	25,000	10.47	n/a	n/a	875.00	3.5
GREEN ARROW DOUG	040	TYC	SS	11,800	39.99	n/a	18-Aug	590.00	5.0
GREEN ARROW DOUG	040	TYC	S	8,200	39.99	n/a	18-Aug	410.00	5.0
ROSEDALE CAPITAL	046	XOM	B	20,000	61.07	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date) :								45,487.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/08	NOMURA CAPITAL (NOMUSTRATE)	029	FCN	S	3,300	33.51	n/a	n/a	99.00 3.0
AO,	09/08	NOMURA CAPITAL (NOMUBATT2)	029	FCN	S	2,800	33.51	n/a	n/a	84.00 3.0
AO,CXL	09/08	NOMURA CAPITAL (NOMUBSMAIN)	029	FCN	S	9,900	33.51	n/a	n/a	297.00 3.0
AO,	09/08	NOMURA CAPITAL (NOMUBSMAIN)	029	FCN	S	3,800	33.51	n/a	n/a	114.00 3.0
AO,CXL	09/09	MILLENIUM-DOUG (MILDFOVEA)	040	FL	SS	20,000	13.07	n/a	20-Aug	1000.00 5.0
AO,CRT	09/09	MILLENIUM-DOUG (MILDFOVEA)	040	FL	SS	20,000	13.07	n/a	20-Aug	800.00 4.0
AO,	09/01	LISTED ERR (LISTED ERR)	099	IL	B	86,000	13.08	n/a	n/a	0.00 0.0
AO,	09/01	LISTED ERR (LISTED ERR)	099	IL	S	86,000	13.08	n/a	n/a	0.00 0.0
AO,CXL	09/01	FEDERATED INV/KAUFMAN (FEDEIFKAUF)	029	IL	S	2,143	13.08	n/a	n/a	117.87 5.5
AO,	09/01	FEDERATED INV/KAUFMAN (FEDEIFKAUF)	029	IL	S	2,143	13.08	n/a	n/a	117.87 5.5
AO,CXL	09/01	FEDERATED INV/KAUFMAN (FEDEFKAUF)	029	IL	S	83,857	13.08	n/a	n/a	4612.14 5.5
AO,	09/01	FEDERATED INV/KAUFMAN (FEDEFKAUF)	029	IL	S	83,857	13.08	n/a	n/a	4612.14 5.5
CRT	09/10	ROSEDALE CAPITAL (ROSEGS)	046	XOM	B	20,000	61.07	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :										800.00
TOTAL (Trade Date):										45,487.52
TOTAL (AO, CXL, CRT):										800.00
TOTAL (RUN DATE) / NFS:										46,287.52

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