



Daily Compliance Activity Report

Trade Date: 07/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AA	SS	6,600	10.87	n/a	n/a	264.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		AGCO	SS	10,000	29.43		n/a 30-Apr	500.00	5.0
BALYASNY ASSET MGMT	044	ANF	S	20,000	35.22	n/a	9-Jul	1,000.00	5.0
EXIS CAPITAL	044	ARO	SS	12,500	29.97	n/a	9-Jul	625.00	5.0
MATRIX ASSET ADV.	036	AXP	S	2,000	43.40	n/a	15-Jul	80.00	4.0
BROADARCH CAP/OLD NEWC	070	BAX	SS	3,700	43.04	n/a	n/a	148.00	4.0
BMO NESBITT BURNS	041	CEPH	SS	3,000	59.66	n/a	15-Jul	150.00	5.0
BROADARCH CAP/OLD NEWC	070	CE	S	3,300	26.17	n/a	n/a	132.00	4.0
RBC CAPITAL MARKETS	040	CF	S	18,000	77.29	n/a	n/a	720.00	4.0
BNP PARIBAS SEC	040	DAN	B	15,000	10.80	n/a	15-Jul	600.00	4.0
BENCHMARK	025	DAR	B	5,000	7.79	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	DELL	SS	4,300	13.40	n/a	n/a	172.00	4.0
CATAPULT	040	DOW	SS	20,000	26.41	n/a	21-May	1,000.00	5.0
BUCK CAPITAL MGMT	001	EL	B	10,000	64.76	n/a	7-Jun	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ERIC	B	5,000	11.82	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	ETH	SS	15,000	14.16	n/a	n/a	750.00	5.0
TRELLUS PARTNERS LP	028	FOR	B	20,000	16.50	n/a	28-Jun	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	25,000	26.99	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	GWW	SS	5,000	103.50	n/a	15-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	10,000	25.84	n/a	14-May	400.00	4.0
BROADARCH CAP/OLD NEWC	070	HPQ	B	3,000	47.36	n/a	n/a	120.00	4.0
M&I FUNDS	047	IP	S	8,397	23.36	n/a	28-Jun	335.88	4.0
BENCHMARK	025	IYF	B	2,500	52.84	n/a	n/a	100.00	4.0
EXIS CAPITAL	044	JNY	B	19,000	15.52	n/a	14-May	950.00	5.0
ONE EAST CAP ADV LP	048	JPM	S	10,000	39.72	n/a	15-Jul	500.00	5.0
RBC CAPITAL MARKETS	040	JRCC	B	50,000	17.18	n/a	n/a	2,000.00	4.0
BROADARCH CAP/OLD NEWC	070	MHS	B	1,400	57.09	n/a	n/a	56.00	4.0
BROADARCH CAP/OLD NEWC	070	MRVL	S	10,300	17.34	n/a	n/a	412.00	4.0
BMO NESBITT BURNS	041	MYL	B	7,000	18.28	n/a	15-Jul	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	M	B	10,000	18.03	n/a	9-Jul	500.00	5.0
BNP PARIBAS SEC	040	PCAR	B	7,500	44.01	n/a	23-Jun	300.00	4.0
BROADARCH CAP/OLD NEWC	070	PH	SS	2,500	57.68	n/a	30-Apr	100.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		PKG	S	9,442	22.65		n/a 28-Jun	472.10	5.0
CATAPULT	040	POT	B	15,000	97.17	n/a	n/a	750.00	5.0
ELM RIDGE ADVISORS	044	PTV	SS	117,400	29.79	n/a	n/a	4,696.00	4.0
DENVER INST. ADV	046	PVH	S	83,550	47.47	n/a	26-May	3,342.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		RF	B	50,000	6.90		n/a n/a	1,500.00	3.0
BERMAN CAPITAL MGMT	046	SKX	S	6,500	33.94	n/a	n/a	195.00	3.0
BNP PARIBAS SEC	040	TGT	B	5,000	49.80	n/a	9-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	10.95	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	VSI	B	20,000	25.09	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	WCRX	SS	4,000	23.65	n/a	15-Jul	200.00	5.0
BROADARCH CAP/OLD NEWC	070	WPI	B	1,600	43.99	n/a	15-Jul	64.00	4.0
BROADARCH CAP/OLD NEWC	070	XLNX	SS	7,700	28.05	n/a	n/a	308.00	4.0

TOTAL (Trade Date):

28,591.98

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/14	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	B	17,400	22.82	n/a	28-Jun	870.00 5.0
AO,CRT	07/14	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	B	17,400	22.82	n/a	28-Jun	522.00 3.0
AO,	07/14	DENVER INST. ADV (DENV567)	046	PVH	S	600	48.73	n/a	26-May	24.00 4.0
AO,	07/14	DENVER INST. ADV (DENV92)	046	PVH	S	5,700	48.73	n/a	26-May	228.00 4.0
AO,	07/14	DENVER INST. ADV (DENV70)	046	PVH	S	11,800	48.73	n/a	26-May	472.00 4.0
AO,	07/14	DENVER INST. ADV (DENV566)	046	PVH	S	600	48.73	n/a	26-May	24.00 4.0
AO,	07/14	DENVER INST. ADV (DENV455)	046	PVH	S	11,400	48.73	n/a	26-May	456.00 4.0
AO,	07/14	DENVER INST. ADV (DENV401)	046	PVH	S	3,900	48.73	n/a	26-May	156.00 4.0
AO,	07/14	DENVER INST. ADV (DENV314)	046	PVH	S	2,900	48.73	n/a	26-May	116.00 4.0
AO,	07/14	DENVER INST. ADV (DENV192)	046	PVH	S	6,500	48.73	n/a	26-May	260.00 4.0
AO,	07/14	DENVER INST. ADV (DENV185)	046	PVH	S	300	48.73	n/a	26-May	12.00 4.0
AO,	07/14	DENVER INST. ADV (DENV100)	046	PVH	S	36,300	48.73	n/a	26-May	1452.00 4.0
AO,CXL	07/14	SMITH MGMT LLC (SMITJPMORG)	029	SDRL	B	26,300	21.45	n/a	n/a	0.00 0.0
AO,CRT	07/14	SMITH MGMT LLC (SMITJPMORG)	029	SDRL	B	26,300	21.45	n/a	n/a	789.00 3.0
TOTAL (AO, CXL, CRT) :										3,641.00
TOTAL (Trade Date):										28,591.98
TOTAL (AO, CXL, CRT):										3,641.00
TOTAL (RUN DATE) / NFS:										32,232.98

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