



Daily Compliance Activity Report

Trade Date: 08/16/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
SIGMA CAP BOBBY	044	ADM	S	25,000	30.15	n/a	3-Aug	875.00 3.5
WADDELL AND REED	047	AMAT	S	420,820	11.25	n/a	n/a	12,624.60 3.0
PARTNER REINSURANCE	033	ANF	S	19,800	37.69	n/a	6-Aug	792.00 4.0
MTB INV ADV	034	ARM	S	35,800	14.42	n/a	n/a	1,790.00 5.0
DSG CAPITAL	225	ARO	SS	6,000	23.11	n/a	6-Aug	180.00 3.0
EXIS CAPITAL	044	ARO	SS	15,000	23.49	n/a	6-Aug	750.00 5.0
ISLE RIDGE PARTNERS	041	AXL	B	45,700	9.22	n/a	4-Aug	1,828.00 4.0
MTB INV ADV	034	AXL	S	23,350	9.23	n/a	4-Aug	700.50 3.0
KLEINHEINZ CAP PART	031	BRCM	SS	150,000	31.35	n/a	n/a	7,500.00 5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.47	n/a	n/a	800.00 4.0
CRAMER ROSENTHAL/SCOTT	012	CVS	B	19,910	28.66	n/a	n/a	796.40 4.0
MTB INV ADV	034	DAN	S	12,950	11.21	n/a	2-Aug	647.50 5.0
IRIDIAN ASSET MGMT.	036	DRC	S	6,905	36.02	n/a	n/a	345.25 5.0
PATTEN & PATTEN	067	DVY	B	400	44.60	n/a	n/a	20.00 5.0
PATTEN & PATTEN	067	EWG	B	500	20.19	n/a	n/a	25.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	FCX	S	16,600	71.16	n/a	n/a	581.00	3.5
WHITE PINE CAPITAL	030	FL	B	49,050	12.56	n/a	13-Aug	2,452.50	5.0
SMITH MGMT LLC	029	FWS	S	50,000	4.21	n/a	n/a	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	11.97	n/a	4-Aug	3,000.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	25.14	n/a	n/a	800.00	4.0
SIGMA CAP BOBBY	044	GE	B	50,000	15.48	n/a	n/a	1,750.00	3.5
BUCK CAPITAL MGMT	001	GIL	B	10,000	29.66	n/a	13-Aug	400.00	4.0
WILLIAM BLAIR	031	G	S	9,100	13.88	n/a	n/a	364.00	4.0
PATTEN & PATTEN	067	IAU	B	6,000	11.99	n/a	n/a	300.00	5.0
PATTEN & PATTEN	067	IJH	B	500	73.53	n/a	n/a	25.00	5.0
SIGMA CAP BOBBY	044	IWM	SS	50,000	61.80	n/a	n/a	1,750.00	3.5
ISLE RIDGE PARTNERS	041	JCI	S	50,000	28.11	n/a	23-Jul	2,000.00	4.0
PZENA INV ADV	044	JCP	B	15,200	19.65	n/a	13-Aug	532.01	3.5
EXIS CAPITAL	044	JNY	B	5,000	16.40	n/a	29-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	30.47	n/a	13-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	20,000	44.54	n/a	13-Aug	800.00	4.0
DSG CAPITAL	225	KSS	SS	3,000	44.57	n/a	13-Aug	90.00	3.0
T. ROWE PRICE	033	LPX	B	85,100	6.74	n/a	5-Aug	1,702.00	2.0
DSG CAPITAL	225	M	B	6,000	20.11	n/a	12-Aug	180.00	3.0
WILLIAM BLAIR	031	OFI	S	29,412	4.25	n/a	n/a	882.36	3.0
ISLE RIDGE PARTNERS	041	PENN	SS	55,000	28.09	n/a	n/a	2,200.00	4.0
PATTEN & PATTEN	067	PFM	B	4,000	12.56	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	80.26	n/a	5-Aug	400.00	4.0
Õ Nilsa Vazquez		SBUX	B	200	24.0100	n/a	22-Jul	0.00	0.0
BAIRD INVESTMENT	047	SJM	B	4,175	58.30	n/a	n/a	208.75	5.0
IRIDIAN ASSET MGMT.	036	STX	B	32,670	11.34	n/a	n/a	1,633.50	5.0
MTB INV ADV	034	TEN	S	8,300	26.39	n/a	n/a	415.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	18.35	n/a	27-Jul	1,250.00	5.0
HAHN CAPITAL MANAGEMENT	084	VRX	S	6,160	57.48	n/a	n/a	308.00	5.0
HARRIER HAWK MGMT	084	VRX	S	1,520	57.48	n/a	n/a	76.00	5.0
LISTED ERR	099	VRX	B	2,536	57.51	n/a	n/a	0.00	0.0
LISTED ERR	099	VRX	S	2,536	57.48	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	WCRX	S	9,500	29.01	n/a	16-Aug	760.00	8.0
SIGMA CAP BOBBY	044	WERN	B	15,000	21.03	n/a	n/a	525.00	3.5
SIGMA CAP BOBBY	044	XRT	SS	25,000	36.99	n/a	n/a	875.00	3.5
TOTAL (Trade Date) :								59,884.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/13	COLUMBUS CIRCLE (COLC5040)	036	ILMN	B	292	46.17	n/a	n/a	11.68	4.0
AO,	08/13	COLUMBUS CIRCLE (COLC5040)	036	ILMN	B	468	46.06	n/a	n/a	18.72	4.0
AO,	08/13	COLUMBUS CIRCLE (COLC5000)	036	ILMN	B	789	46.17	n/a	n/a	31.56	4.0
AO,	08/13	COLUMBUS CIRCLE (COLC5000)	036	ILMN	B	1,260	46.06	n/a	n/a	50.40	4.0
AO,	08/13	MANNING & NAPIER (MANNEQ0622)	034	SCHW	B	2,190	14.64	n/a	n/a	65.70	3.0
AO,CXL	08/13	MANNING & NAPIER (MANNEQ0622)	034	SCHW	B	2,190	14.64	n/a	n/a	65.70	3.0
AO,	08/13	DAVIDSON KEMPNER ADVISOR (DAVISB)	040	SPY	SS	5,130	108.59	n/a	n/a	256.50	5.0
TOTAL (AO, CXL, CRT) :										368.86	

TOTAL (Trade Date) :	59,884.37
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TOTAL (RUN DATE) / NFS :	60,253.23
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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