



## Daily Compliance Activity Report

Trade Date: 08/04/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol      | B/S       | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| BALYASNY ASSET MGMT      | 044        | AEO         | S         | 25,000         | 12.30        | n/a        | 29-Jul        | 1,250.00        | 5.0        |
| CATAPULT                 | 040        | AF          | SS        | 3,000          | 13.36        | n/a        | 27-Jul        | 150.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ANF</b>  | <b>B</b>  | <b>80,000</b>  | <b>38.69</b> | <b>n/a</b> | <b>29-Jul</b> | <b>3,200.00</b> | <b>4.0</b> |
| BASIX                    | 033        | ANN         | S         | 55,000         | 17.39        | n/a        | n/a           | 1,650.00        | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ARO</b>  | <b>S</b>  | <b>100,000</b> | <b>27.47</b> | <b>n/a</b> | <b>29-Jul</b> | <b>4,000.00</b> | <b>4.0</b> |
| EXIS CAPITAL             | 044        | ARO         | SS        | 10,000         | 27.44        | n/a        | 29-Jul        | 500.00          | 5.0        |
| NEUBERGER BERMAN         | 036        | ASTE        | S         | 11,000         | 30.97        | n/a        | n/a           | 440.00          | 4.0        |
| 1798 CAP/LOMBARD ASSET   | 040        | AWI         | B         | 10,000         | 36.41        | n/a        | n/a           | 500.00          | 5.0        |
| CATAPULT                 | 040        | BAC         | S         | 3,750          | 14.20        | n/a        | 19-Jul        | 187.50          | 5.0        |
| GCORE MANAGEMENT         | 041        | BUCY        | SS        | 20,000         | 63.22        | n/a        | 26-Jul        | 1,000.00        | 5.0        |
| <b>LISTED ERR</b>        | <b>099</b> | <b>BUCY</b> | <b>SS</b> | <b>10,000</b>  | <b>63.15</b> | <b>n/a</b> | <b>26-Jul</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>BUCY</b> | <b>S</b>  | <b>10,000</b>  | <b>63.15</b> | <b>n/a</b> | <b>26-Jul</b> | <b>0.00</b>     | <b>0.0</b> |
| DAVIDSON KEMPNER ADVISOR | 040        | CF          | S         | 17,800         | 82.77        | n/a        | n/a           | 890.00          | 5.0        |
| HIGHBRIDGE CAP           | 041        | CX          | SS        | 100,000        | 9.51         | n/a        | n/a           | 4,000.00        | 4.0        |
| 1798 CAP/LOMBARD ASSET   | 040        | CYT         | B         | 15,000         | 51.53        | n/a        | n/a           | 750.00          | 5.0        |
| SENATOR INVESTMENT GROUP | 036        | DOW         | B         | 150,000        | 24.85        | n/a        | 3-Aug         | 4,500.00        | 3.0        |

| Account                 | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| CR INTRINIC INVESTMENT  | 044  | ENDP   | B   | 400     | 24.35 | n/a | 2-Aug    | 14.00       | 3.5 |
| MELLON/BANK OF NEW YORK | 046  | EQIX   | S   | 10,577  | 94.38 | n/a | n/a      | 528.85      | 5.0 |
| HIGHBRIDGE CAP          | 041  | EXPE   | B   | 25,000  | 24.00 | n/a | n/a      | 1,000.00    | 4.0 |
| HARBORWATCH/DIAMBACK    | 232  | FAST   | S   | 5,000   | 50.61 | n/a | n/a      | 250.00      | 5.0 |
| OZ MGMT                 | 040  | F      | B   | 150,000 | 13.05 | n/a | 4-Aug    | 4,500.00    | 3.0 |
| BALYASNY ASSET MGMT     | 044  | GPS    | C   | 30,000  | 18.14 | n/a | n/a      | 1,500.00    | 5.0 |
| HOTCHKIS & WILEY        | 035  | GPS    | B   | 670,600 | 18.17 | n/a | n/a      | 33,530.00   | 5.0 |
| PORTER-ORLIN            | 044  | HBC    | SS  | 100,000 | 53.27 | n/a | n/a      | 5,000.00    | 5.0 |
| MISSOURI VALLEY PART    | 046  | HPQ    | S   | 33,902  | 46.81 | n/a | n/a      | 1,695.10    | 5.0 |
| SONTERRA CAP            | 041  | HUN    | S   | 50,000  | 10.25 | n/a | n/a      | 2,000.00    | 4.0 |
| PORTER-ORLIN            | 044  | IBN    | B   | 100,000 | 42.05 | n/a | n/a      | 5,000.00    | 5.0 |
| HIGHBRIDGE CAP          | 041  | INTC   | SS  | 2,100   | 20.77 | n/a | n/a      | 84.00       | 4.0 |
| IRIDIAN ASSET MGMT.     | 036  | IP     | B   | 9,520   | 24.70 | n/a | 28-Jul   | 476.00      | 5.0 |
| BALYASNY ASSET MGMT     | 044  | JNY    | S   | 20,000  | 17.67 | n/a | 29-Jul   | 1,000.00    | 5.0 |
| THE JAY GOLDMAN         | 028  | KSS    | B   | 10,000  | 47.05 | n/a | 29-Jul   | 400.00      | 4.0 |
| NEUBERGER BERMAN        | 036  | LAYN   | S   | 4,227   | 25.95 | n/a | n/a      | 169.08      | 4.0 |

| Account                         | RR #       | Symbol    | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.   |            |
|---------------------------------|------------|-----------|----------|---------------|--------------|------------|------------|---------------|------------|
| GRANITE CAPITAL                 | 028        | LINTA     | B        | 50,000        | 11.54        | n/a        | n/a        | 2,500.00      | 5.0        |
| <b>BUCK CAPITAL MGMT</b>        | <b>001</b> | <b>LL</b> | <b>B</b> | <b>20,000</b> | <b>22.32</b> | <b>n/a</b> | <b>n/a</b> | <b>800.00</b> | <b>4.0</b> |
| LEVIN CAPITAL STRATEGIES        | 012        | LULU      | C        | 21,115        | 40.23        | n/a        | n/a        | 633.45        | 3.0        |
| MERRILL ASSET/BLACKROCK         | 266        | MCY       | S        | 8,800         | 41.23        | n/a        | n/a        | 352.00        | 4.0        |
| WEDBUSH/PACIFIC GROWTH EQTY LLC | 084        | MIDD      | SS       | 7,500         | 60.03        |            | n/a 14-May | 375.00        | 5.0        |
| CAXTON PART                     | 040        | MRK       | B        | 17,649        | 35.03        | n/a        | n/a        | 617.72        | 3.5        |
| BANK OF AMERICA/MERRILL         | 259        | M         | B        | 25,000        | 19.40        | n/a        | 29-Jul     | 1,000.00      | 4.0        |
| KACELA CAPITAL                  | 034        | M         | B        | 110,000       | 19.38        | n/a        | 29-Jul     | 4,400.00      | 4.0        |
| THE JAY GOLDMAN                 | 028        | M         | S        | 25,000        | 19.11        | n/a        | 29-Jul     | 1,000.00      | 4.0        |
| JP MORGAN VENTURES              | 046        | OMX       | B        | 45,000        | 13.07        | n/a        | n/a        | 2,250.00      | 5.0        |
| IRIDIAN ASSET MGMT.             | 036        | OXY       | B        | 2,880         | 79.14        | n/a        | n/a        | 144.00        | 5.0        |
| MILLENIUM PARTNERS              | 028        | PCL       | B        | 10,000        | 36.97        | n/a        | 27-Jul     | 400.00        | 4.0        |
| EATON VANCE MGMT                | 048        | PFE       | B        | 500,000       | 16.49        | n/a        | n/a        | 15,000.00     | 3.0        |
| ROTHSCHILD ASSET                | 040        | PPL       | S        | 12,921        | 27.46        | n/a        | n/a        | 516.84        | 4.0        |
| NEUBERGER BERMAN                | 036        | RBN       | S        | 26,933        | 23.80        | n/a        | n/a        | 1,077.32      | 4.0        |
| DAVIDSON KEMPNER ADVISOR        | 040        | RS        | B        | 10,000        | 40.29        | n/a        | n/a        | 500.00        | 5.0        |

| Account                     | RR #       | Symbol     | B/S      | Shares       | Price        | MRI        | Research      | Comm. ¢/Shr.  |            |
|-----------------------------|------------|------------|----------|--------------|--------------|------------|---------------|---------------|------------|
| RESERVOIR CAPITAL GROUP LLC | 038        | SAH        | B        | 30,300       | 9.76         | n/a        | n/a           | 1,212.00      | 4.0        |
| MERU CAP PART LLC           | 036        | SCHW       | S        | 10,000       | 14.84        | n/a        | n/a           | 400.00        | 4.0        |
| THOMAS WEISEL ASSET MGMT    | 035        | SMCI       | S        | 14,400       | 10.37        | n/a        | n/a           | 432.00        | 3.0        |
| SENATOR INVESTMENT GROUP    | 036        | SPY        | B        | 75,000       | 112.85       | n/a        | n/a           | 2,250.00      | 3.0        |
| ELM RIDGE ADVISORS          | 044        | TIN        | B        | 82,000       | 20.04        | n/a        | 27-Jul        | 3,280.00      | 4.0        |
| CATAPULT                    | 040        | TROW       | SS       | 4,200        | 49.81        | n/a        | n/a           | 210.00        | 5.0        |
| CAVU CAP ADV                | 028        | TRW        | S        | 20,000       | 33.55        | n/a        | n/a           | 1,000.00      | 5.0        |
| DAVIDSON KEMPNER ADVISOR    | 040        | TXI        | S        | 10,000       | 33.74        | n/a        | n/a           | 500.00        | 5.0        |
| MELLON/BANK OF NEW YORK     | 046        | UHS        | B        | 56,080       | 37.22        | n/a        | n/a           | 2,804.00      | 5.0        |
| PORTER-ORLIN                | 044        | VIAB       | B        | 50,000       | 34.09        | n/a        | n/a           | 2,500.00      | 5.0        |
| FARALLON CAP MGMT           | 040        | VRSK       | S        | 7,235        | 29.50        | n/a        | n/a           | 217.05        | 3.0        |
| CATAPULT                    | 040        | WABC       | B        | 2,586        | 53.76        | n/a        | n/a           | 129.30        | 5.0        |
| CAXTON PART                 | 040        | WFC        | S        | 17,821       | 28.08        | n/a        | 22-Jul        | 623.75        | 3.5        |
| <b>BUCK CAPITAL MGMT</b>    | <b>001</b> | <b>WRC</b> | <b>B</b> | <b>3,100</b> | <b>42.16</b> | <b>n/a</b> | <b>19-Jul</b> | <b>124.00</b> | <b>4.0</b> |
| JMP ASSET MGMT              | 210        | WTW        | SS       | 10,000       | 27.79        | n/a        | n/a           | 180.00        | 2.5        |

| Account                    | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr.      |     |
|----------------------------|------|--------|-----|--------|-------|-----|----------|-------------------|-----|
| PILOT ADV                  | 242  | WU     | B   | 25,000 | 16.13 | n/a | n/a      | 500.00            | 2.0 |
| MILLENIUM PARTNERS         | 028  | WY     | SS  | 25,000 | 17.23 | n/a | 21-Jul   | 1,000.00          | 4.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |       |     |          | <b>129,092.96</b> |     |

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

| Type                          | Date  | Account                               | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr.     |
|-------------------------------|-------|---------------------------------------|------|--------|-----|---------|-------|-----|----------|-----------------|
| AO,                           | 08/03 | COLUMBUS CIRCLE (COLC3060)            | 036  | DOW    | S   | 51,945  | 25.72 | n/a | 3-Aug    | 2077.80 4.0     |
| AO,CXL                        | 08/03 | DSG CAPITAL (DSGCJEFF)                | 225  | F      | B   | 10,000  | 13.17 | n/a | 4-Aug    | 500.00 5.0      |
| AO,CRT                        | 08/03 | DSG CAPITAL (DSGCJEFF)                | 225  | F      | B   | 10,000  | 13.17 | n/a | 4-Aug    | 300.00 3.0      |
| CRT                           | 08/04 | KACELA CAPITAL (KACEGS)               | 034  | M      | B   | 110,000 | 19.38 | n/a | 29-Jul   | 4400.00 4.0     |
| AO,CRT                        | 08/02 | SAC CAPITAL/M GRONET (SACJCSPB)       | 030  | M      | B   | 12,500  | 19.35 | n/a | 29-Jul   | 437.50 3.5      |
| AO,CXL                        | 08/02 | SAC CAPITAL/M GRONET (SACJGSMG)       | 030  | M      | B   | 12,500  | 19.35 | n/a | 29-Jul   | 437.50 3.5      |
| CRT                           | 08/04 | RESERVOIR CAPITAL GROUP LLC (RESEJPM) | 038  | SAH    | B   | 30,300  | 9.76  | n/a | n/a      | 1212.00 4.0     |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCCIUSSC)           | 030  | SSI    | B   | 8,600   | 11.20 | n/a | n/a      | 258.00 3.0      |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCGVITSC)           | 030  | SSI    | B   | 11,350  | 11.20 | n/a | n/a      | 340.50 3.0      |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCCISCPL)           | 030  | SSI    | B   | 10,500  | 11.20 | n/a | n/a      | 315.00 3.0      |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCINHLTH)           | 030  | SSI    | B   | 1,000   | 11.20 | n/a | n/a      | 30.00 3.0       |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCINHCS)            | 030  | SSI    | B   | 4,950   | 11.20 | n/a | n/a      | 148.50 3.0      |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCCALLAN)           | 030  | SSI    | B   | 3,900   | 11.20 | n/a | n/a      | 117.00 3.0      |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCAMBALL)           | 030  | SSI    | B   | 250     | 11.20 | n/a | n/a      | 7.50 3.0        |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCPRMLV)            | 030  | SSI    | B   | 450     | 11.20 | n/a | n/a      | 13.50 3.0       |
| AO,                           | 08/03 | EPOCH INV MGMT (EPOCPRVALE)           | 030  | SSI    | B   | 100     | 11.20 | n/a | n/a      | 3.00 3.0        |
| AO,CXL                        | 07/29 | COBALT (COBAGS)                       | 041  | TYC    | S   | 20,907  | 36.89 | n/a | 29-Jul   | 1045.35 5.0     |
| AO,                           | 07/29 | COBALT (COBAGS)                       | 041  | TYC    | S   | 2,145   | 36.89 | n/a | 29-Jul   | 107.25 5.0      |
| AO,CRT                        | 07/29 | COBALT (COBAGS)                       | 041  | TYC    | S   | 18,762  | 36.89 | n/a | 29-Jul   | 938.10 5.0      |
| AO,CXL                        | 08/03 | GALT INVESTMENT (GALTGS)              | 041  | ZUMZ   | B   | 10,000  | 18.18 | n/a | n/a      | 500.00 5.0      |
| AO,CRT                        | 08/03 | GALT INVESTMENT (GALTGS)              | 041  | ZUMZ   | B   | 10,000  | 18.18 | n/a | n/a      | 400.00 4.0      |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                       |      |        |     |         |       |     |          | <b>8,622.80</b> |

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|---------------------|------------|
| TOTAL (Trade Date): | 129,092.96 |
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|                       |          |
|-----------------------|----------|
| TOTAL (AO, CXL, CRT): | 8,622.80 |
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|--------------------------------|-------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>137,715.76</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