



## Daily Compliance Activity Report

Trade Date: 08/19/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	ATVI	SS	9,000	11.02	n/a	n/a	450.00	5.0
GREEN ARROW DOUG	040	ATVI	S	16,000	11.02	n/a	n/a	800.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	9,200	22.32	n/a	n/a	368.00	4.0
&PRO	036	AYE	B	800	22.32	n/a	n/a	32.00	4.0
OZ MGMT	040	CAT	SS	25,000	69.31	n/a	23-Jul	750.00	3.0
ROSEDALE CAPITAL	046	CMC	B	10,000	13.62	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	CSCO	S	16,890	22.11	n/a	n/a	844.50	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	30,000	9.44	n/a	n/a	1,500.00	5.0
STERLING JOHNSTON	035	DAN	B	29,150	11.03	n/a	2-Aug	1,166.00	4.0
LATEFF MGMT	035	ENR	S	1,000	64.10	n/a	28-Jul	280.00	28.0
EXIS CAPITAL	044	FINL	B	5,000	13.22	n/a	n/a	250.00	5.0
TALKOT CAPITAL LLC	084	FL	B	15,000	12.91	n/a	19-Aug	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	10,000	14.00	n/a	5-Aug	500.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	13.97	n/a	5-Aug	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	38.42	n/a	19-Jul	3,000.00	3.0
BALYASNY ASSET MGMT	044	GPS	C	20,000	17.72	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GPS	SS	10,000	17.67	n/a	n/a	500.00	5.0
CONIFER/ISF	025	INTC	S	4,000	18.94	n/a	n/a	200.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	300,000	20.91	n/a	13-Aug	12,000.00	4.0
THE JAY GOLDMAN	028	JCP	B	50,000	20.78	n/a	13-Aug	2,000.00	4.0
CAXTON PART	040	JPM	B	17,753	37.86	n/a	16-Aug	621.38	3.5
ARCHON CAPITAL	035	KCG	S	20,000	13.06	n/a	n/a	600.00	3.0
GRUBER MACBAINE	033	LOW	S	100,069	20.46	n/a	16-Aug	4,002.76	4.0
TRUSTCO/SUNTRUST	040	LOW	B	35,439	20.38	n/a	16-Aug	1,382.12	3.9
ARCHON CAPITAL	035	LPX	B	70,000	7.14	n/a	5-Aug	2,100.00	3.0
HARVEST MGMT	029	LTD	S	20,000	26.23	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LTD	SS	25,000	25.97	n/a	n/a	875.00	3.5
MELLON/BANK OF NEW YORK	046	MSFT	S	10,800	24.47	n/a	n/a	540.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>18.87</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
&CDP	031	NAL	B	102,950	12.80	n/a	n/a	5,147.50	5.0
TRUSTCO/SUNTRUST	040	NTRS	S	24,400	48.44	n/a	10-Aug	951.60	3.9
JP MORGAN VENTURES	046	NWL	B	10,000	15.53	n/a	n/a	500.00	5.0
COHE & STEERS	041	PCL	S	20,261	34.33	n/a	27-Jul	810.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	22.92	n/a	20-Jul	2,500.00	5.0
BALYASNY ASSET MGMT	044	PLCE	B	25,000	45.55	n/a	19-Aug	1,250.00	5.0
METROPOLITAN CAPITAL	044	PLCE	S	15,800	45.08	n/a	19-Aug	790.00	5.0
SCOPUS FUND	041	PLCE	B	10,000	44.98	n/a	19-Aug	500.00	5.0
S.A.C. CAP/ORENSTEIN	044	PX	SS	10,000	87.72	n/a	28-Jul	350.00	3.5
SCHOTTENFELD ASSOC	041	RKT	B	7,500	49.44	n/a	n/a	225.00	3.0
MFP INVESTORS	085	RUTH	B	10,000	3.48	n/a	n/a	300.00	3.0
COHE & STEERS	041	RYN	S	35,220	46.88	n/a	9-Aug	1,408.80	4.0
SHEFFIELD ASSET MGMT	031	SPLS	B	25,000	18.93	n/a	n/a	1,250.00	5.0
CASTLEROCK	040	SSCC	S	93,000	17.95	n/a	3-Aug	3,720.00	4.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	15,000	18.13	n/a	3-Aug	750.00	5.0
BRIGADE CAPITAL MGMT	029	SVU	C	91,100	10.46	n/a	n/a	2,733.00	3.0
MELLON/BANK OF NEW YORK	046	TDC	B	9,400	30.52	n/a	n/a	470.00	5.0
THE JAY GOLDMAN	028	TGT	S	20,000	51.95	n/a	18-Aug	800.00	4.0
CAMBIAR CAP	046	TIN	B	38,860	17.43	n/a	27-Jul	1,554.40	4.0
COOPER CREEK PART	028	TIN	B	20,000	17.47	n/a	27-Jul	800.00	4.0
SIGMA CAP BOBBY	044	TYC	B	20,000	36.98	n/a	18-Aug	7,000.00	35.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLLIS CAPITAL	033	UA	SS	5,000	37.00	n/a	28-Jul	250.00	5.0
SIGMA CAP BOBBY	044	UTX	SS	10,000	68.65	n/a	n/a	350.00	3.5
SIGMA CAP BOBBY	044	VIAB	B	15,000	32.06	n/a	n/a	525.00	3.5
SIGMA CAP BOBBY	044	VMED	B	25,000	20.37	n/a	n/a	875.00	3.5
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	41.26	n/a	6-Aug	1,500.00	3.0
JMP ASSET MGMT	210	WSM	B	15,000	27.75	n/a	n/a	750.00	5.0
CLOVIS CAPITAL	012	WY	SS	150,000	16.35	n/a	5-Aug	7,500.00	5.0
EXIS CAPITAL	044	ZQK	B	25,000	3.87	n/a	10-May	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>85,872.50</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/18	DSG CAPITAL (DSGCJEFF)	225	ARO	B	6,000	22.96	n/a	6-Aug	300.00 5.0
AO,CRT	08/18	DSG CAPITAL (DSGCJEFF)	225	ARO	B	6,000	22.96	n/a	6-Aug	180.00 3.0
AO,CXL	08/18	CATAPULT (CATAML)	040	AXE	SS	6,000	47.86	n/a	27-Jul	300.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	AXE	SS	6,000	47.86	n/a	27-Jul	240.00 4.0
AO,CRT	08/18	CATAPULT (CATAML)	040	CCK	B	75,000	28.82	n/a	n/a	3000.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO (CATDDB)	040	CCK	B	75,000	28.82	n/a	n/a	3750.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	DOW	SS	38,500	25.60	n/a	3-Aug	1540.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO (CATDDB)	040	DOW	SS	38,500	25.60	n/a	3-Aug	1925.00 5.0
AO,CXL	08/18	CATAPULT (CATAML)	040	FMC	B	5,100	62.23	n/a	n/a	255.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	FMC	B	28,000	62.89	n/a	n/a	1120.00 4.0
AO,CRT	08/18	CATAPULT (CATAML)	040	FMC	B	5,100	62.23	n/a	n/a	204.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO (CATDDB)	040	FMC	B	28,000	62.89	n/a	n/a	1400.00 5.0
AO,CXL	08/18	CATAPULT (CATAML)	040	OIH	SS	2,200	104.26	n/a	n/a	110.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	OIH	SS	2,200	104.26	n/a	n/a	88.00 4.0
AO,CRT	08/18	CAISSE DEPOT PLACEMENT Q (&CDPCMAIN)	031	PRA	B	10,000	54.56	n/a	n/a	500.00 5.0
AO,CXL	08/18	CASEY CAPITAL (CASEGRIS)	067	PRA	B	10,000	54.56	n/a	n/a	500.00 5.0
AO,CXL	08/18	CATAPULT (CATAML)	040	ROC	B	6,000	29.30	n/a	n/a	300.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	ROC	B	6,000	29.30	n/a	n/a	240.00 4.0
AO,CRT	08/18	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	TIN	B	20,000	18.01	n/a	27-Jul	600.00 3.0
AO,CXL	08/18	SCHOTTENFELD ASSOC (SCHOASSOC)	041	TIN	B	20,000	18.01	n/a	27-Jul	600.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/18	CATAPULT (CATAML)	040	WCC	B	6,900	34.30	n/a	n/a	345.00 5.0
AO,CRT	08/18	CATAPULT (CATAML)	040	WCC	B	6,900	34.30	n/a	n/a	276.00 4.0
AO,	08/18	WADDELL AND REED (WADD095)	047	WFC	S	44,929	25.38	n/a	10-Aug	1347.87 3.0
AO,	08/18	WADDELL AND REED (WADD257)	047	WFC	S	1,123	25.38	n/a	10-Aug	33.69 3.0
AO,	08/18	WADDELL AND REED (WADD672)	047	WFC	S	554	25.38	n/a	10-Aug	16.62 3.0
AO,	08/18	WADDELL AND REED (WADD326)	047	WFC	S	1,144	25.38	n/a	10-Aug	34.32 3.0
AO,	08/18	WADDELL AND REED (WADD671)	047	WFC	S	7,755	25.38	n/a	10-Aug	232.65 3.0
AO,	08/18	WADDELL AND REED (WADD336)	047	WFC	S	147	25.38	n/a	10-Aug	4.41 3.0
AO,	08/18	WADDELL AND REED (WADD685)	047	WFC	S	322	25.38	n/a	10-Aug	9.66 3.0
AO,	08/18	WADDELL AND REED (WADD537)	047	WFC	S	9,618	25.38	n/a	10-Aug	288.54 3.0
AO,	08/18	WADDELL AND REED (WADD325)	047	WFC	S	6,624	25.38	n/a	10-Aug	198.72 3.0
AO,	08/18	WADDELL AND REED (WADD309)	047	WFC	S	120	25.38	n/a	10-Aug	3.60 3.0
AO,	08/18	WADDELL AND REED (WADD001)	047	WFC	S	22,120	25.38	n/a	10-Aug	663.60 3.0
AO,	08/18	WADDELL AND REED (WADD021)	047	WFC	S	294,795	25.38	n/a	10-Aug	8843.85 3.0
AO,	08/18	WADDELL AND REED (WADD273)	047	WFC	S	1,200	25.38	n/a	10-Aug	36.00 3.0
AO,	08/18	WADDELL AND REED (WADD271)	047	WFC	S	275	25.38	n/a	10-Aug	8.25 3.0
AO,	08/18	WADDELL AND REED (WADD094)	047	WFC	S	5,800	25.38	n/a	10-Aug	174.00 3.0
AO,	08/18	WADDELL AND REED (WADD029)	047	WFC	S	27,000	25.38	n/a	10-Aug	810.00 3.0
AO,	08/18	WADDELL AND REED (WADD067)	047	WFC	S	20,300	25.38	n/a	10-Aug	609.00 3.0
AO,	08/18	WADDELL AND REED (WADD269)	047	WFC	S	225	25.38	n/a	10-Aug	6.75 3.0
AO,	08/18	WADDELL AND REED (WADD548)	047	WFC	S	1,900	25.38	n/a	10-Aug	57.00 3.0
AO,	08/18	WADDELL AND REED (WADD295)	047	WFC	S	11,900	25.38	n/a	10-Aug	357.00 3.0
AO,	08/18	WADDELL AND REED (WADD294)	047	WFC	S	5,650	25.38	n/a	10-Aug	169.50 3.0
AO,	08/18	WADDELL AND REED (WADD283)	047	WFC	S	1,050	25.38	n/a	10-Aug	31.50 3.0
AO,	08/18	WADDELL AND REED (WADD304)	047	WFC	S	1,600	25.38	n/a	10-Aug	48.00 3.0
AO,	08/18	WADDELL AND REED (WADD296)	047	WFC	S	3,600	25.38	n/a	10-Aug	108.00 3.0
AO,	08/18	WADDELL AND REED (WADD300)	047	WFC	S	1,900	25.38	n/a	10-Aug	57.00 3.0
AO,	08/18	WADDELL AND REED (WADD302)	047	WFC	S	6,950	25.38	n/a	10-Aug	208.50 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/18	WADDELL AND REED (WADD308)	047	WFC	S	1,200	25.38	n/a	10-Aug	36.00 3.0
AO,	08/18	WADDELL AND REED (WADD282)	047	WFC	S	300	25.38	n/a	10-Aug	9.00 3.0
AO,	08/18	WADDELL AND REED (WADD591)	047	WFC	S	30	25.38	n/a	10-Aug	0.90 3.0
AO,	08/18	WADDELL AND REED (WADD301)	047	WFC	S	700	25.38	n/a	10-Aug	21.00 3.0
AO,	08/18	WADDELL AND REED (WADD303)	047	WFC	S	1,950	25.38	n/a	10-Aug	58.50 3.0
AO,	08/18	WADDELL AND REED (WADD318)	047	WFC	S	41	25.38	n/a	10-Aug	1.23 3.0
AO,	08/18	WADDELL AND REED (WADD315)	047	WFC	S	220	25.38	n/a	10-Aug	6.60 3.0
AO,	08/18	WADDELL AND REED (WADD305)	047	WFC	S	550	25.38	n/a	10-Aug	16.50 3.0
AO,	08/18	WADDELL AND REED (WADD272)	047	WFC	S	1,000	25.38	n/a	10-Aug	30.00 3.0
AO,	08/18	WADDELL AND REED (WADD700)	047	WFC	S	1,100	25.38	n/a	10-Aug	33.00 3.0
AO,	08/18	WADDELL AND REED (WADD264)	047	WFC	S	1,000	25.38	n/a	10-Aug	30.00 3.0
AO,	08/18	WADDELL AND REED (WADD263)	047	WFC	S	110	25.38	n/a	10-Aug	3.30 3.0
AO,	08/18	WADDELL AND REED (WADD307)	047	WFC	S	500	25.38	n/a	10-Aug	15.00 3.0
AO,	08/18	WADDELL AND REED (WADD323)	047	WFC	S	3,400	25.38	n/a	10-Aug	102.00 3.0
AO,	08/18	WADDELL AND REED (WADD527)	047	WFC	S	1,250	25.38	n/a	10-Aug	37.50 3.0
AO,	08/18	WADDELL AND REED (WADD171)	047	WFC	S	15	25.38	n/a	10-Aug	0.45 3.0
AO,	08/18	WADDELL AND REED (WADD324)	047	WFC	S	600	25.38	n/a	10-Aug	18.00 3.0
AO,	08/18	WADDELL AND REED (WADD331)	047	WFC	S	560	25.38	n/a	10-Aug	16.80 3.0
AO,	08/18	WADDELL AND REED (WADD342)	047	WFC	S	95	25.38	n/a	10-Aug	2.85 3.0
AO,	08/18	WADDELL AND REED (WADD337)	047	WFC	S	10,700	25.38	n/a	10-Aug	321.00 3.0
AO,	08/18	WADDELL AND REED (WADD529)	047	WFC	S	900	25.38	n/a	10-Aug	27.00 3.0
AO,	08/18	WADDELL AND REED (WADD549)	047	WFC	S	4,000	25.38	n/a	10-Aug	120.00 3.0
AO,	08/18	WADDELL AND REED (WADD339)	047	WFC	S	1,250	25.38	n/a	10-Aug	37.50 3.0
AO,	08/18	WADDELL AND REED (WADD343)	047	WFC	S	175	25.38	n/a	10-Aug	5.25 3.0
AO,	08/18	WADDELL AND REED (WADD248)	047	WFC	S	1,250	25.38	n/a	10-Aug	37.50 3.0
AO,	08/18	WADDELL AND REED (WADD528)	047	WFC	S	425	25.38	n/a	10-Aug	12.75 3.0
AO,	08/18	WADDELL AND REED (WADD344)	047	WFC	S	4,450	25.38	n/a	10-Aug	133.50 3.0
AO,	08/18	WADDELL AND REED (WADD333)	047	WFC	S	3,050	25.38	n/a	10-Aug	91.50 3.0
AO,	08/18	WADDELL AND REED (WADD338)	047	WFC	S	1,040	25.38	n/a	10-Aug	31.20 3.0
AO,CRT	08/18	CATAPULT (CATAML)	040	XLI	SS	60,000	29.95	n/a	n/a	2400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	08/18	CATAPULT CAP/DEFRANCO (CATDDB)	040	XLI	SS	60,000	29.95	n/a	n/a 3000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>13,216.86</b>
TOTAL (Trade Date) :									85,872.50
TOTAL (AO, CXL, CRT) :									13,216.86
<b>TOTAL (RUN DATE) / NFS :</b>									<b>99,089.36</b>



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