



Daily Compliance Activity Report

Trade Date: 08/06/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	30,000	12.47	n/a	6-Aug	1,500.00	5.0
S.A.C. CAP/ORENSTEIN	044	ARNA	SS	100,000	7.11	n/a	n/a	3,500.00	3.5
NEUBERGER BERMAN	036	ASTE	S	15,400	29.96	n/a	n/a	616.00	4.0
NICOLAS APPLGATE	084	ATEC	S	96,500	2.53	n/a	n/a	2,895.00	3.0
SONTERRA CAP	041	ATI	SS	10,000	48.25	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	ATVI	B	25,000	10.95	n/a	n/a	1,250.00	5.0
1798 CAP/LOMBARD ASSET	040	AWI	B	20,000	37.14	n/a	n/a	1,000.00	5.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	31.76	n/a	6-Aug	180.00	6.0
CAPITAL GROWTH MGMT.	241	BPO	S	250,000	14.39	n/a	n/a	10,000.00	4.0
BANK OF AMERICA/MERRILL	259	BUD	B	5,000	52.34	n/a	n/a	250.00	5.0
LISTED ERR	099	BZ	S	52,100	6.10	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CAM	B	900	39.48	n/a	n/a	27.00	3.0
NEUBERGER BERMAN	036	CAM	B	67,900	39.01	n/a	n/a	2,716.00	4.0
RAINIER INV MGMT	035	CNK	B	50,000	16.52	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	COL	B	700	58.44	n/a	21-Jul	21.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	COV	B	52,300	38.21	n/a	n/a	2,092.00	4.0
1798 CAP/LOMBARD ASSET	040	CYT	B	2,000	50.11	n/a	n/a	100.00	5.0
FARALLON CAP MGMT	040	DDS	SS	50,000	21.96	n/a	n/a	2,000.00	4.0
S.A.C. HEALTHCARE BOBBY	044	ENDP	B	10,000	24.72	n/a	2-Aug	350.00	3.5
EPOCH INV MGMT	030	FIS	B	1,500	27.56	n/a	n/a	45.00	3.0
S.A.C. HEALTHCARE BOBBY	044	FRX	B	40,000	27.38	n/a	2-Aug	1,400.00	3.5
AVESTA CAP	229	F	C	300,000	12.89	n/a	4-Aug	9,000.00	3.0
AVESTA CAP	229	GLW	SS	200,000	18.52	n/a	28-Jul	6,000.00	3.0
CAXTON PART	040	JPM	S	35,634	40.14	n/a	19-Jul	1,247.21	3.5
Õ Nilsa Vazquez		KLIC	S	300	7.1800	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	KSS	S	9,425	48.40	n/a	6-Aug	471.25	5.0
NEUBERGER BERMAN	036	LAYN	S	5,900	24.91	n/a	n/a	236.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	81.10	n/a	4-Aug	300.00	3.0
BENCHMARK	025	MIDD	B	2,500	58.85	n/a	14-May	100.00	4.0
DISCIPLINED GROWTH INV.	030	MIDD	B	52,900	58.93	n/a	14-May	2,645.00	5.0
Õ Michael DiMattia		MOS	B	50	50.9000	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. HEALTHCARE BOBBY	044	MRX	SS	15,000	27.61	n/a	n/a	525.00	3.5
EXIS CAPITAL	044	M	B	5,000	19.50	n/a	6-Aug	250.00	5.0
BANK OF AMERICA/MERRILL	259	OC	B	5,000	27.84	n/a	n/a	250.00	5.0
GALT INVESTMENT	041	ORLY	B	25,000	46.89	n/a	n/a	1,250.00	5.0
SAC CAPITAL/M GRONET	030	PVH	B	20,000	52.65	n/a	19-Jul	700.00	3.5
NEUBERGER BERMAN	036	RBN	S	31,500	24.35	n/a	n/a	1,260.00	4.0
LAGRANGE CAP ADV	048	SAH	B	5,000	9.39	n/a	n/a	250.00	5.0
S.A.C. CAP/ORENSTEIN	044	SMH	B	75,000	27.60	n/a	n/a	2,625.00	3.5
1798 CAP/LOMBARD ASSET	040	SWC	S	5,000	13.77	n/a	n/a	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	10,000	49.86	n/a	3-Aug	350.00	3.5
COOPER CREEK PART	028	TIN	B	10,000	19.14	n/a	27-Jul	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	201,100	19.54	n/a	27-Jul	8,044.00	4.0
IRIDIAN ASSET MGMT.	036	TIN	S	112,290	19.20	n/a	27-Jul	5,614.50	5.0
EPOCH INV MGMT	030	TJX	B	1,250	41.45	n/a	6-Aug	37.50	3.0
1798 CAP/LOMBARD ASSET	040	TKR	S	5,000	35.06	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	TMO	B	1,250	45.19	n/a	n/a	37.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	TRV	B	450	50.38	n/a	n/a	13.50	3.0
SOROS	036	TSO	C	61,357	12.63	n/a	n/a	2,454.28	4.0
EPOCH INV MGMT	030	TXN	B	2,050	25.55	n/a	n/a	61.50	3.0
EXIS CAPITAL	044	UA	B	5,000	37.20	n/a	28-Jul	250.00	5.0
GALT INVESTMENT	041	ULTA	S	20,000	23.70	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	UNH	B	1,150	33.49	n/a	n/a	34.50	3.0
SENATOR INVESTMENT GROUP	036	UNH	S	100,000	33.34	n/a	n/a	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	USO	SS	30,000	36.63	n/a	n/a	900.00	3.0
EPOCH INV MGMT	030	VTR	B	1,250	51.36	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	V	B	650	71.67	n/a	2-Aug	19.50	3.0
EPOCH INV MGMT	030	WEC	B	1,000	55.51	n/a	n/a	30.00	3.0
CAXTON PART	040	WFC	S	35,642	27.61	n/a	22-Jul	1,247.50	3.5
EPOCH INV MGMT	030	WFR	B	1,550	9.73	n/a	n/a	46.50	3.0
EPOCH INV MGMT	030	WFT	B	1,450	16.55	n/a	n/a	43.50	3.0
EPOCH INV MGMT	030	XOM	B	1,200	61.94	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	YHOO	B	2,350	14.12	n/a	n/a	70.50	3.0

TOTAL (Trade Date):

83,679.74

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	FARALLON CAP MGMT (FARACS)	040	GENZ	B	9,700	69.35	n/a	n/a	388.00 4.0
AO,CXL	08/05	FARALLON CAP MGMT (FARABULK F)	040	GENZ	B	59,000	69.35	n/a	n/a	2360.00 4.0
AO,CRT	08/05	FARALLON CAP MGMT (FARABULK F)	040	GENZ	B	49,300	69.35	n/a	n/a	1479.00 3.0
AO,	08/05	FARALLON CAP MGMT (FARACS)	040	VIAB	B	8,200	33.88	n/a	n/a	328.00 4.0
AO,CXL	08/05	FARALLON CAP MGMT (FARABULK F)	040	VIAB	B	50,000	33.88	n/a	n/a	2000.00 4.0
AO,CRT	08/05	FARALLON CAP MGMT (FARABULK F)	040	VIAB	B	41,800	33.88	n/a	n/a	1672.00 4.0

TOTAL (AO, CXL, CRT) :	-493.00
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TOTAL (Trade Date) :	83,679.74
TOTAL (AO, CXL, CRT) :	-493.00

TOTAL (RUN DATE) / NFS :	83,186.74
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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