



## Daily Compliance Activity Report

Trade Date: 08/03/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	AAWW	S	23,350	49.38	n/a	n/a	1,167.50	5.0
CAXTON PART	040	ABT	B	35,660	50.45	n/a	n/a	1,248.12	3.5
1798 CAP/LOMBARD ASSET	040	AKS	C	63,000	14.99	n/a	n/a	3,150.00	5.0
OHIO PERS	047	ALL	S	58,000	28.60	n/a	n/a	1,740.00	3.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	10,000	57.80	n/a	2-Aug	300.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>ALV</b>	<b>B</b>	<b>10,000</b>	<b>57.85</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>ALV</b>	<b>S</b>	<b>10,000</b>	<b>57.94</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>10,000</b>	<b>38.05</b>	<b>n/a</b>	<b>29-Jul</b>	<b>400.00</b>	<b>4.0</b>
HARBORWATCH/DIAMBACK	232	ARM	S	5,000	16.06	n/a	n/a	250.00	5.0
ST OF MICHIAN	047	ARO	B	130,000	27.20	n/a	29-Jul	3,900.00	3.0
NEUBERGER BERMAN	036	ASTE	S	13,510	31.78	n/a	n/a	540.40	4.0
CAMBIAR CAP	046	BK	B	34,925	25.69	n/a	21-Jul	1,397.00	4.0
1798 CAP/LOMBARD ASSET	040	CLF	S	10,000	59.46	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	CLF	B	10,000	60.35	n/a	n/a	500.00	5.0
MTB INV ADV	034	CLF	B	5,200	59.80	n/a	n/a	260.00	5.0
HIGHFIELDS CAP MGMT	030	CMCSK	S	117,356	18.09	n/a	n/a	4,694.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	COH	C	25,000	36.28	n/a	19-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>50,000</b>	<b>37.03</b>	<b>n/a</b>	<b>19-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
HARBORWATCH/DIAMBACK	232	CSX	B	10,000	54.02	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	DAN	S	30,000	12.29	n/a	2-Aug	1,500.00	5.0
KENNEDY CAPITAL	046	DPZ	B	20,000	12.50	n/a	27-Jul	800.00	4.0
CROWN CAP MGMT	084	FL	B	30,000	13.77	n/a	29-Jul	1,500.00	5.0
BMO NESBITT BURNS	041	FRX	B	3,000	28.39	n/a	2-Aug	300.00	10.0
DSG CAPITAL	225	F	B	10,000	13.17	n/a	2-Aug	500.00	5.0
SIGMA CAP BOBBY	044	F	B	100,000	12.95	n/a	2-Aug	3,500.00	3.5
STANDARD PACIFIC CAPITAL	040	F	B	170,000	12.95	n/a	2-Aug	8,500.00	5.0
LATEFF MGMT	035	GE	B	2,000	16.41	n/a	n/a	240.00	12.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	50,000	31.49	n/a	19-Jul	1,500.00	3.0
PILOT ADV	242	GLW	S	50,100	18.82	n/a	28-Jul	2,004.00	4.0
ROARING BLUE LION MGMT	012	GYMB	B	1,500	42.49	n/a	29-Jul	60.00	4.0
EXIS CAPITAL	044	JNY	B	5,000	17.60	n/a	29-Jul	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>34.00</b>	<b>n/a</b>	<b>29-Jul</b>	<b>400.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	LAYN	S	6,900	25.87	n/a	n/a	276.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	50,000	31.55	n/a	28-Jul	2,500.00	5.0
CAVU CAP ADV	028	LEA	S	20,000	81.45	n/a	2-Aug	1,000.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	5,300	79.00	n/a	2-Aug	265.00	5.0
TRELLUS PARTNERS LP	028	LEA	S	17,000	81.07	n/a	2-Aug	850.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>30,000</b>	<b>25.56</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
THE JAY GOLDMAN	028	MGM	S	20,000	11.41	n/a	2-Aug	800.00	4.0
HIGHBRIDGE CAP	041	MON	B	12,500	58.86	n/a	1-Jul	500.00	4.0
TRUST CO OF THE WEST/NY	040	MXL	B	60,801	11.84	n/a	n/a	2,432.04	4.0
TCKW	040	MXL	B	895	11.84	n/a	n/a	35.80	4.0
EXIS CAPITAL	044	M	B	10,000	18.82	n/a	29-Jul	500.00	5.0
HIGHBRIDGE CAP	041	M	B	50,000	18.87	n/a	29-Jul	2,000.00	4.0
ARMATURE CAPITAL	041	NLC	SS	20,000	24.49	n/a	n/a	800.00	4.0
PARTNER REINSURANCE	033	ODP	B	105,050	4.66	n/a	n/a	3,151.50	3.0
COUGAR TRADING	044	PFCB	B	5,000	42.05	n/a	28-Jul	250.00	5.0
CAVU CAP ADV	028	PH	S	4,600	63.93	n/a	30-Jul	230.00	5.0
1798 CAP/LOMBARD ASSET	040	PKG	S	6,000	24.44	n/a	20-Jul	300.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	B	16,500	24.39	n/a	20-Jul	825.00	5.0
CAXTON PART	040	PM	B	17,830	52.23	n/a	n/a	624.06	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	PRGO	B	1,000	57.47	n/a	2-Aug	100.00	10.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>75,000</b>	<b>15.63</b>	<b>n/a</b>	<b>n/a</b>	<b>3,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	PVH	B	5,000	52.05	n/a	19-Jul	250.00	5.0
NEUBERGER BERMAN	036	RBN	S	16,167	23.60	n/a	n/a	646.68	4.0
COLUMBIA PARTNERS	028	SBAC	B	44,723	36.15	n/a	n/a	1,788.92	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>10,000</b>	<b>33.70</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
WEISS PECK	040	SKX	B	9,300	34.17	n/a	n/a	465.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SPG</b>	<b>B</b>	<b>10,000</b>	<b>93.12</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
ASCEND PARTNERS	033	SPR	S	2,400	21.63	n/a	21-Jul	96.00	4.0
ROYAL CAPITAL MGMT	070	STRA	B	7,700	229.46	n/a	n/a	385.00	5.0
PILOT ROCK	028	TIF	SS	39,368	42.18	n/a	n/a	1,574.72	4.0
ELM RIDGE ADVISORS	044	TIN	B	195,800	20.05	n/a	27-Jul	7,832.00	4.0
1798 CAP/LOMBARD ASSET	040	TKR	S	20,000	34.25	n/a	n/a	1,000.00	5.0
HOLDEN CAPITAL MGMT	035	TREX	SS	10,000	22.12	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	UNH	S	70,930	32.13	n/a	n/a	2,127.90	3.0
BAIRD INVESTMENT	047	WBC	B	7,325	38.31	n/a	28-Jul	366.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	WFMI	B	55,000	39.19	n/a	n/a	2,200.00	4.0
EXIS CAPITAL	044	WRC	B	5,000	41.70	n/a	19-Jul	250.00	5.0
GALT INVESTMENT	041	ZUMZ	B	10,000	18.18	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>87,273.13</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/02	SAC CAPITAL/M GRONET (SACJMSCO)	030	DE	SS	25,000	67.13	n/a	20-May	875.00 3.5
AO,CXL	08/02	SAC CAPITAL/M GRONET (SACJCSPB)	030	DE	SS	25,000	67.13	n/a	20-May	875.00 3.5
AO,CRT	08/02	SAC CAPITAL/M GRONET (SACJCSPB)	030	PVH	B	7,500	53.16	n/a	19-Jul	262.50 3.5
AO,CXL	08/02	SAC CAPITAL/M GRONET (SACJGSMG)	030	PVH	B	7,500	53.16	n/a	19-Jul	262.50 3.5
AO,CXL	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	ROST	SS	100,000	52.21	n/a	n/a	30.00 0.0
AO,	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	ROST	SS	100,000	52.21	n/a	n/a	3500.00 3.5
AO,CXL	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	URBN	SS	50,000	32.04	n/a	n/a	15.00 0.0
AO,	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	URBN	SS	50,000	32.04	n/a	n/a	1750.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,205.00</b>

TOTAL (Trade Date):	87,273.13
TOTAL (AO, CXL, CRT):	5,205.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>92,478.13</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