



## Daily Compliance Activity Report

Trade Date: 08/23/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ANN	C	10,000	16.07	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	ARO	SS	5,000	22.81	n/a	20-Aug	250.00	5.0
ISLE RIDGE PARTNERS	041	BBY	SS	17,500	32.46	n/a	n/a	700.00	4.0
BENNETT LAWRENCE	028	BEAV	S	24,350	27.14	n/a	28-Jul	974.00	4.0
WATERFRONT CAP	028	CAKE	SS	29,500	22.28	n/a	23-Jul	1,180.00	4.0
WATERFRONT CAP	028	CAKE	S	77,500	22.59	n/a	23-Jul	3,100.00	4.0
1798 CAP/LOMBARD ASSET	040	CLF	S	20,000	61.17	n/a	n/a	1,000.00	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	80,000	9.24	n/a	n/a	4,000.00	5.0
1798 CAP/LOMBARD ASSET	040	CYT	S	10,000	47.14	n/a	n/a	500.00	5.0
OZ MGMT	040	DAN	B	200,000	10.85	n/a	2-Aug	6,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>SS</b>	<b>10,000</b>	<b>25.86</b>	<b>n/a</b>	<b>19-Aug</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	FINL	B	10,000	13.35	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	FL	B	15,000	12.18	n/a	20-Aug	600.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	14.01	n/a	23-Aug	400.00	4.0
TRELLUS PARTNERS LP	028	FOR	B	5,000	14.00	n/a	23-Aug	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	10,000	25.63	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	GET	B	15,000	27.15	n/a	n/a	600.00	4.0
LATEFF MGMT	035	GLW	B	7,500	16.06	n/a	23-Aug	525.00	7.0
PATTEN & PATTEN	067	IAU	B	2,000	12.01	n/a	n/a	100.00	5.0
DSG CAPITAL	225	INTC	B	7,000	18.96	n/a	n/a	210.00	3.0
PATTEN & PATTEN	067	ITT	S	1,570	44.10	n/a	30-Apr	78.50	5.0
DIAMONDBACK CAP MGMT	232	ITW	B	10,000	42.47	n/a	30-Jul	500.00	5.0
ISLE RIDGE PARTNERS	041	JCI	S	15,000	28.06	n/a	23-Jul	600.00	4.0
LAGRANGE CAP ADV	048	JNS	B	20,000	10.03	n/a	n/a	1,000.00	5.0
GEOSPHERE CAPITAL MGMT	084	JOYG	B	75,000	58.58	n/a	4-Jun	2,250.00	3.0
SENATOR INVESTMENT GROUP	036	KSS	B	166,538	46.59	n/a	13-Aug	4,996.14	3.0
BENNETT LAWRENCE	028	MWW	SS	20,650	10.65	n/a	n/a	826.00	4.0
EXIS CAPITAL	044	M	B	5,000	20.40	n/a	12-Aug	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	NOV	B	15,000	38.72	n/a	n/a	450.00	3.0
WATERFRONT CAP	028	PNRA	B	31,500	79.62	n/a	28-Jul	1,260.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MFP INVESTORS	085	RUTH	B	5,000	3.35	n/a	n/a	150.00	3.0
SAXON WOODS ADVISORS	242	SAFM	B	10,000	45.00	n/a	n/a	400.00	4.0
M&I FUNDS	047	SHPGY	B	3,220	66.72	n/a	18-Aug	128.80	4.0
EXIS CAPITAL	044	SKS	B	10,000	7.58	n/a	n/a	500.00	5.0
ISLE RIDGE PARTNERS	041	SONC	B	25,000	8.17	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	S	B	400,000	4.09	n/a	n/a	8,000.00	2.0
COOPER CREEK PART	028	TIN	B	15,000	17.11	n/a	27-Jul	600.00	4.0
ISLE RIDGE PARTNERS	041	UPS	B	9,000	65.68	n/a	n/a	360.00	4.0
MACKLOWE ASSET MGMT	041	URBN	B	25,000	32.69	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	USO	C	62,500	32.50	n/a	n/a	1,875.00	3.0
MACKLOWE ASSET MGMT	041	WAG	B	65,000	28.68	n/a	n/a	2,600.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	30,000	16.39	n/a	5-Aug	900.00	3.0
<b>TOTAL (Trade Date):</b>								<b>51,913.44</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/20	CONIFER/ISF (CONIISFRIP)	025	FL	B	5,000	12.46	n/a	20-Aug	250.00 5.0
AO,CRT	08/20	CONIFER/ISF (CONIISFRIP)	025	FL	B	5,000	12.46	n/a	20-Aug	200.00 4.0
AO,CXL	08/12	MANNING & NAPIER (MANNMJ0541)	034	SCHW	B	830	14.71	n/a	n/a	24.90 3.0
AO,	08/12	MANNING & NAPIER (MANNMJ0541)	034	SCHW	B	830	14.71	n/a	n/a	24.90 3.0
AO,CXL	08/20	PAULSON & CO INC (PAULBS)	041	SYMC	B	480,684	13.64	n/a	n/a	14420.52 3.0
AO,	08/20	PAULSON & CO INC (PAULBS)	041	SYMC	B	460,865	13.64	n/a	n/a	13825.95 3.0
AO,CXL	08/20	PAULSON & CO INC (PAULDEUTSH)	041	SYMC	B	16,998	13.64	n/a	n/a	509.94 3.0
AO,	08/20	PAULSON & CO INC (PAULDEUTSH)	041	SYMC	B	25,674	13.64	n/a	n/a	770.22 3.0
AO,CXL	08/20	PAULSON & CO INC (PAULGS)	041	SYMC	B	2,318	13.64	n/a	n/a	69.54 3.0
AO,	08/20	PAULSON & CO INC (PAULGS)	041	SYMC	B	13,461	13.64	n/a	n/a	403.83 3.0
AO,CXL	08/18	CATAPULT (CATAML)	040	XLI	SS	60,000	29.95	n/a	n/a	2400.00 4.0
AO,CRT	08/18	CATAPULT (CATAML)	040	XLI	SS	60,000	29.95	n/a	n/a	3000.00 5.0

**TOTAL (AO, CXL, CRT) :****550.00**

TOTAL (Trade Date) :

51,913.44

TOTAL (AO, CXL, CRT) :

550.00

**TOTAL (RUN DATE) / NFS :****52,463.44**

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