



Daily Compliance Activity Report

Trade Date: 08/27/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
US BANCORP	030	ADTN	S	11,560	30.45	n/a	n/a	578.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	70,000	13.41	n/a	27-Aug	2,800.00	4.0
SONTERRA CAP	041	AOL	B	19,100	22.35	n/a	n/a	764.00	4.0
EXIS CAPITAL	044	ARO	SS	5,000	22.45	n/a	27-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	70,000	36.41	n/a	4-Aug	2,800.00	4.0
ROSEDALE CAPITAL	046	CSCO	B	20,000	20.41	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAP	041	DVN	SS	8,221	61.03	n/a	11-Aug	328.84	4.0
HIGHBRIDGE CAP	041	EOG	B	5,244	89.30	n/a	n/a	209.76	4.0
HIGHBRIDGE CAP	041	FCX	B	3,523	71.09	n/a	n/a	140.92	4.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	43.35	n/a	27-Aug	800.00	4.0
SOUTH POINT CAP	067	FISV	S	40,000	50.84	n/a	n/a	2,000.00	5.0
HIGHBRIDGE CAP	041	FST	B	1,453	26.51	n/a	n/a	58.12	4.0
EXIS CAPITAL	044	GES	SS	10,000	33.62	n/a	26-Aug	500.00	5.0
CATAPULT	040	GS	S	2,000	139.40	n/a	20-Aug	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	GYMB	SS	8,500	38.46	n/a	27-Aug	425.00	5.0
HIGHBRIDGE CAP	041	HAL	B	35,562	29.24	n/a	n/a	1,422.48	4.0
HIGHBRIDGE CAP	041	HK	B	2,923	14.92	n/a	n/a	116.92	4.0
M&I FUNDS	047	IGT	B	30,000	15.13	n/a	28-Jul	1,200.00	4.0
HIGHBRIDGE CAP	041	IYT	B	13,217	75.82	n/a	n/a	528.68	4.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	31.58	n/a	n/a	1,200.00	4.0
EXIS CAPITAL	044	JCG	SS	10,000	31.04	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	JWN	SS	5,000	30.15	n/a	27-Aug	250.00	5.0
HIGHBRIDGE CAP	041	KWK	B	2,154	11.78	n/a	n/a	86.16	4.0
T. ROWE PRICE	033	LPX	B	28,747	6.50	n/a	26-Aug	574.94	2.0
BANK OF AMERICA/MERRILL	259	MJN	S	10,000	51.42	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	MMM	SS	12,384	80.91	n/a	22-Jul	495.36	4.0
HIGHBRIDGE CAP	041	MOO	B	11,422	43.95	n/a	n/a	456.88	4.0
CATAPULT	040	MS	S	5,000	24.78	n/a	20-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	M	S	30,000	19.69	n/a	27-Aug	1,200.00	4.0
SCOUT/UMB	047	M	B	95,800	19.55	n/a	27-Aug	2,874.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	OSK	S	16,258	25.69	n/a	n/a	812.90	5.0
JET CAPITAL/CHRIS	041	PFE	S	200,000	15.82	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	47.15	n/a	19-Jul	400.00	4.0
FARALLON CAP MGMT	040	RIMM	SS	150,000	46.02	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	77.20	n/a	5-Aug	400.00	4.0
COHE & STEERS	041	RYN	S	61,048	47.00	n/a	26-Aug	2,441.92	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	26.19	n/a	n/a	400.00	4.0
GEORGE WEISS	034	SSCC	B	75,000	16.74	n/a	26-Aug	2,250.00	3.0
WEISS PECK	040	SWN	S	6,100	32.66	n/a	6-Aug	305.00	5.0
BNP PARIBAS SEC	040	TIF	B	5,001	40.06	n/a	n/a	200.04	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	16.22	n/a	26-Aug	2,500.00	5.0
MERRILL ASSET/BLACKROCK	266	WCC	S	32,100	33.16	n/a	n/a	1,284.00	4.0
GCORE MANAGEMENT	041	XRX	S	25,000	8.56	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date) :								48,653.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									48,653.92
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									48,653.92

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