

## **Daily Compliance Activity Report** Trade Date: 10/05/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

					101		MALLIGI	Heibl vio	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PZENA INV ADV	044	AET	S	2 <b>,</b> 575	30.93	n/a	n/a	90.13	3.5
APEX CAPITAL MGMT.	261	ANF	В	100,000	38.78	n/a	1-0ct	4,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	В	40,000	38.85	n/a	1-0ct	1,600.00	4.0
CADIAN CAPITAL	067	ANF	В	50,000	38.64	n/a	1-0ct	2,000.00	4.0
ISLE RIDGE PARTNERS	041	AN	В	22,100	23.83	n/a	4-Aug	884.00	4.0
CAXTON PART	040	AXP	С	50,000	38.00	n/a	5-0ct	1,750.00	3.5
CAVU CAP ADV	028	ВА	S	30,000	67.35	n/a	17-Sep	1,500.00	5.0
FARALLON CAP MGMT	040	BMC	S	13,400	40.43	n/a	n/a	536.00	4.0
GLOBAL 56 LLC	060	BONT	S	2,500	10.50	n/a	n/a	125.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.12	n/a	n/a	800.00	4.0
CONIFER/ISF	025	CA	S	1,800	21.62	n/a	n/a	90.00	5.0
IMPALA ASSET MMT	012	CENX	В	100,000	13.27	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	CHRW	В	27 <b>,</b> 700	71.44	n/a	n/a	1,385.00	5.0
BIXBY LLC	070	COG	В	1,000	31.02	n/a	5-0ct	40.00	4.0
MATRIX ASSET ADV.	091	COP	S	1,300	58.30	n/a	n/a	52.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
õ	Ravi Sadarangani		CVGI	В	2000	9.9700	n/a	n/a	0.00	0.0
	RAINIER INV MGMT	035	CXO	В	85 <b>,</b> 580	68.19	n/a	n/a	3,423.20	4.0
	BALYASNY ASSET MGMT	044	DAN	S	20,000	12.75	n/a	2-Aug	1,000.00	5.0
	RWC PARTNERS LTD	067	DAN	В	68,754	12.90	n/a	2-Aug	2,062.62	3.0
	FARALLON CAP MGMT	040	EFA	В	40,000	56.20	n/a	n/a	1,600.00	4.0
	FRIESS MGMT	033	EMC	S	485,500	20.36	n/a	n/a	19,420.00	4.0
	TALPION LLC	040	EMC	S	30,000	20.37	n/a	n/a	900.00	3.0
	DIAMONDBACK CAP MGMT	232	EV	В	10,000	29.61	n/a	n/a	500.00	5.0
	EVERCORE WEALTH MGMT	012	FOR	В	20,500	17.11	n/a	26-Aug	820.00	4.0
	GRYPHON CAPITAL MGMT	084	F	SS	100,000	12.99	n/a	4-Oct	3,000.00	3.0
	ISLE RIDGE PARTNERS	041	GES	S	32,600	39.98	n/a	26-Aug	1,304.00	4.0
	JET CAPITAL/CHRIS	041	GGP	S	100,000	16.17	n/a	n/a	3,000.00	3.0
	ROTHSCHILD ASSET	040	GPI	S	14,260	31.16	n/a	4-Aug	570.40	4.0
	TROUBH PART	067	GT	В	10,000	10.82	n/a	n/a	500.00	5.0
	CONIFER/ISF	025	HAS	S	1,500	45.89	n/a	n/a	75.00	5.0
	SAC CHICAGO ANDREW	031	HD	В	161,000	31.76	n/a	17-Aug	5,635.00	3.5

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
	ISLE RIDGE PARTNERS	041	JCP	В	24,500	28.90	n/a	1-0ct	980.00	4.0	
	THE JAY GOLDMAN	028	JCP	SS	70,000	28.83	n/a	1-0ct	2,800.00	4.0	
	WAGONHOUND/NIC	289	KKR	В	4 <b>,</b> 359	10.80	n/a	n/a	174.36	4.0	
	IMPALA ASSET MMT	012	KNX	В	52,332	19.07	n/a	n/a	2,093.28	4.0	
	ISLE RIDGE PARTNERS	041	KNX	В	14,996	19.08	n/a	n/a	599.84	4.0	
	SIGMA CAPITAL ASSOCIATES	041	KSS	SS	50,000	52.43	n/a	1-0ct	1,750.00	3.5	
	LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	80.00	n/a	4-Aug	300.00	3.0	
	LISTED ERR	099	LEA	В	300	80.00	n/a	4-Aug	0.00	0.0	
	LISTED ERR	099	LEA	SS	300	80.00	n/a	4-Aug	0.00	0.0	
	BUCK CAPITAL MGMT	001	LIZ	В	50,000	6.55	n/a	7-0ct	1,500.00	3.0	
õ	Nilsa Vazquez		MON	В	200	48.1480	n/a	28-Sep	0.00	0.0	
õ	Nilsa Vazquez		MU	В	1000	6.9900	n/a	n/a	0.00	0.0	
	NEW JERSEY DIV OF INV.	030	NC	S	8,093	88.30	n/a	n/a	323.72	4.0	
	CASTLE ARK	031	ORCL	В	165,900	27.23	n/a	n/a	8,295.00	5.0	
	WEDBUSH/PACIFIC GROWTH EQ	TY LLC08	34 PCAI	R B	2	,000 48.55		n/a 28-Ju	100	0.00	5.0
	WEDBUSH/PACIFIC GROWTH EQ	TY LLC08	PCAI	R	S	100 49.62		n/a 28-Ju	1 5	5.00	5.0
	TYEE/TYGH	035	PDCO	S	95 <b>,</b> 839	28.48	n/a	n/a	3,833.56	4.0	
	BMO NESBITT BURNS	041	PKG	В	5,500	23.65	n/a	20-Sep	275.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
ASCEND PARTNERS	033	PLCE	В	15,000	52.20	n/a	19-Aug	750.00	5.0
CAPITAL GROWTH MGMT.	241	RJET	В	70,000	8.62	n/a	n/a	2,100.00	3.0
BMO NESBITT BURNS	041	RKT	SS	4,000	50.83	n/a	n/a	200.00	5.0
TROUBH PART	067	RTN	В	20,000	45.21	n/a	17-Aug	1,000.00	5.0
ROYAL CAPITAL MGMT	070	SHW	SS	80,000	74.96	n/a	1-Sep	4,000.00	5.0
WAGONHOUND/NIC	289	SKS	В	2,231	8.78	n/a	n/a	66.93	3.0
WAGONHOUND/NIC	289	SLM	S	55,069	11.39	n/a	1-0ct	2,202.76	4.0
BUCK CAPITAL MGMT	001	SNE	SS	10,000	31.41	n/a	n/a	400.00	4.0
BIXBY LLC	070	SSCC	В	1,000	18.87	n/a	20-Sep	30.00	3.0
ROSEDALE CAPITAL	046	SWN	В	9,000	32.93	n/a	30-Sep	450.00	5.0
MATRIX ASSET ADV.	091	TEL	s	1,500	29.66	n/a	n/a	60.00	4.0
ISLE RIDGE PARTNERS	041	TSCO	В	19,800	39.25	n/a	n/a	792.00	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	31.34	n/a	n/a	875.00	3.5
BMO NESBITT BURNS	041	USG	В	7,000	12.91	n/a	26-Aug	350.00	5.0
SANDLER CAPITAL	226	WDC	SS	100,000	28.13	n/a	n/a	6,000.00	6.0
	ASCEND PARTNERS  CAPITAL GROWTH MGMT.  BMO NESBITT BURNS  TROUBH PART  ROYAL CAPITAL MGMT  WAGONHOUND/NIC  WAGONHOUND/NIC  BUCK CAPITAL MGMT  BIXBY LLC  ROSEDALE CAPITAL  MATRIX ASSET ADV.  ISLE RIDGE PARTNERS  SIGMA CAPITAL ASSOCIATES  BMO NESBITT BURNS	ASCEND PARTNERS 033  CAPITAL GROWTH MGMT. 241  BMO NESBITT BURNS 041  TROUBH PART 067  ROYAL CAPITAL MGMT 070  WAGONHOUND/NIC 289  WAGONHOUND/NIC 289  BUCK CAPITAL MGMT 001  BIXBY LLC 070  ROSEDALE CAPITAL 046  MATRIX ASSET ADV. 091  ISLE RIDGE PARTNERS 041  SIGMA CAPITAL ASSOCIATES 041  BMO NESBITT BURNS 041	ASCEND PARTNERS  CAPITAL GROWTH MGMT.  BMO NESBITT BURNS  041  RKT  TROUBH PART  ROYAL CAPITAL MGMT  WAGONHOUND/NIC  289  SKS  WAGONHOUND/NIC  289  SLM  BUCK CAPITAL MGMT  001  SNE  BIXBY LLC  ROSEDALE CAPITAL  MATRIX ASSET ADV.  1SLE RIDGE PARTNERS  041  TSCO  SIGMA CAPITAL ASSOCIATES  041  USG	ASCEND PARTNERS  033 PLCE B CAPITAL GROWTH MGMT.  241 RJET B BMO NESBITT BURNS  041 RKT SS TROUBH PART  067 RTN B ROYAL CAPITAL MGMT  070 SHW SS WAGONHOUND/NIC 289 SKS B WAGONHOUND/NIC 289 SLM S BUCK CAPITAL MGMT  001 SNE SS BIXBY LLC 070 SSCC B ROSEDALE CAPITAL 046 SWN B MATRIX ASSET ADV. 091 TEL S ISLE RIDGE PARTNERS 041 URBN SS BMO NESBITT BURNS 041 USG B SS	ASCEND PARTNERS 033 PLCE B 15,000  CAPITAL GROWTH MGMT. 241 RJET B 70,000  BMO NESBITT BURNS 041 RKT SS 4,000  TROUBH PART 067 RTN B 20,000  ROYAL CAPITAL MGMT 070 SHW SS 80,000  WAGONHOUND/NIC 289 SKS B 2,231  WAGONHOUND/NIC 289 SLM S 55,069  BUCK CAPITAL MGMT 001 SNE SS 10,000  BIXBY LLC 070 SSCC B 1,000  ROSEDALE CAPITAL 046 SWN B 9,000  MATRIX ASSET ADV. 091 TEL S 1,500  ISLE RIDGE PARTNERS 041 TSCO B 19,800  SIGMA CAPITAL ASSOCIATES 041 URBN SS 25,000  BMO NESBITT BURNS 041 USG B 7,000	ASCEND PARTNERS 033 PLCE B 15,000 52.20  CAPITAL GROWTH MGMT. 241 RJET B 70,000 8.62  BMO NESBITT BURNS 041 RKT SS 4,000 50.83  TROUBH PART 067 RTN B 20,000 45.21  ROYAL CAPITAL MGMT 070 SHW SS 80,000 74.96  WAGONHOUND/NIC 289 SKS B 2,231 8.78  WAGONHOUND/NIC 289 SLM S 55,069 11.39  BUCK CAPITAL MGMT 001 SNE SS 10,000 31.41  BIXBY LLC 070 SSCC B 1,000 18.87  ROSEDALE CAPITAL 046 SWN B 9,000 32.93  MATRIX ASSET ADV. 091 TEL S 1,500 29.66  ISLE RIDGE PARTNERS 041 URBN SS 25,000 31.34  BMO NESBITT BURNS 041 USG B 7,000 12.91	ASCEND PARTNERS 033 PLCE B 15,000 52.20 n/a  CAPITAL GROWTH MGMT. 241 RJET B 70,000 8.62 n/a  BMO NESBITT BURNS 041 RKT SS 4,000 50.83 n/a  TROUBH PART 067 RTN B 20,000 45.21 n/a  ROYAL CAPITAL MGMT 070 SHW SS 80,000 74.96 n/a  WAGONHOUND/NIC 289 SKS B 2,231 8.78 n/a  BUCK CAPITAL MGMT 001 SNE SS 10,000 31.41 n/a  BUCK CAPITAL MGMT 001 SNE SS 10,000 31.41 n/a  ROSEDALE CAPITAL 046 SWN B 9,000 32.93 n/a  MATRIX ASSET ADV. 091 TEL S 1,500 29.66 n/a  SIGMA CAPITAL ASSOCIATES 041 URBN SS 25,000 31.34 n/a  BMO NESBITT BURNS 041 USG B 7,000 12.91 n/a	ASCEND PARTNERS 033 PLCE B 15,000 52.20	ASCEND PARTNERS 033 PLCE B 15,000 52.20

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
TRUST CO/COWEN/CALF.	040	WPI	S	43,715	44.30	n/a	4-Oct	2,185.75	5.0
AAD CAPITAL	084	WRC	SS	20,000	53.83	n/a	6-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	53.73	n/a	6-Aug	800.00	4.0
LISTED ERR	099	WRC	S	2,000	53.61	n/a	6-Aug	0.00	0.0
BIXBY LLC	070	YHOO	В	1,500	14.63	n/a	n/a	45.00	3.0
SF SENTRY	085	YUM	SS	5,000	46.89	n/a	5-0ct	250.00	5.0

TOTAL (Trade Date):

108,049.55

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	09/30	SCOUT/UMB (SUMBRAYTHE)	047	AGCO	S	11,475	38.95	n/a	28-Jul	573.75	5.0
AO, CRT	09/30	SCOUT/UMB (SUMBRAYTHE)	047	AGCO	S	11,475	38.95	n/a	28-Jul	344.25	3.0
AO, CXL	09/30	SCOUT/UMB (SUMBMIDCAP)	047	AGCO	S	59,550	38.95	n/a	28-Jul	2977.50	5.0
AO, CRT	09/30	SCOUT/UMB (SUMBMIDCAP)	047	AGCO	S	59,550	38.95	n/a	28-Jul	1786.50	3.0
AO, CXL	09/30	SCOUT/UMB (SUMBMAIN)	047	AGCO	S	2,400	38.95	n/a	28-Jul	120.00	5.0
AO, CRT	09/30	SCOUT/UMB (SUMBMAIN)	047	AGCO	S	2,400	38.95		28-Jul	72.00	3.0
	00/00							,	,		
AO,CXL	09/29	JANA CAPITAL (JANAGOLDMA)	044	CBS	SS	89 <b>,</b> 709	15.81	n/a	n/a	3588.36	4.0
AO, CRT	09/29	JANA CAPITAL (JANAUBS)	044	CBS	SS	89 <b>,</b> 709	15.81	n/a	n/a	3588.36	4.0
AO,CXL	10/04	EVERCORE WEALTH MGMT (EVERMAIN)	012	FOR	В	18,500	16.74	n/a	26-Aug	925.00	5.0
AO,CRT	10/04	EVERCORE WEALTH MGMT (EVERMAIN)	012	FOR	В	18,500	16.74	n/a	26-Aug	740.00	4.0
AO,CXL	10/01	RWC PARTNERS LTD (RWCPLUMX)	067	MRO	В	137,891	33.70	n/a	n/a	4136.73	3.0
AO, CRT	10/01	RWC PARTNERS LTD (RWCPLUMX)	067	MRO	В	10,967	33.70	n/a	n/a	329.01	3.0
AO, CRT	10/01	RWC PARTNERS LTD (RWCPBILUBS)	067	MRO	В	137,891	33.70	n/a	n/a	4136.73	3.0
AO, CXL	10/01	RWC PARTNERS LTD (RWCPBILTDB)	067	MRO	В	10,967	33.70	n/a	n/a	329.01	3.0
AO,	10/04	PIONEER PATH (PIOPCDRPPD)	226	PVH	SS	20,100	60.48	n/a	9-Sep	603.00	3.0
AO,CXL	09/29	JANA CAPITAL (JANAGOLDMA)	044	S	S	9,368	4.65	n/a	n/a	374.72	4.0
AO,CRT	09/29	JANA CAPITAL (JANAUBS)	044	S	S	9,368	4.65	n/a	n/a	374.72	4.0
AO,CXL	10/01	JANA CAPITAL (JANAGOLDMA)	044	SSCC	В	36,983	18.76	n/a	20-Sep	1479.32	4.0
AO,	10/01	JANA CAPITAL (JANAUBS)	044	SSCC	В	36,983	18.76	n/a	20-Sep	1479.32	4.0

TOTAL (AO, CXL, CRT): -1,050.50

TOTAL (RUN DATE) / NFS:	106,999.05
TOTAL (AO, CXL, CRT):	-1,050.50
TOTAL (Trade Date):	108,049.55

## Legend:

O: 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