

## **Daily Compliance Activity Report** Trade Date: 10/08/2010

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.¢/Shr.
GRUSS CAPITAL	025	ADM	S	5,000 33.42	n/a	20-Sep	150.00 3.0
FIRST NY SEC/CHRIS	041	AGCO	SS	15,000 42.95	n/a	28-Jul	750.00 5.0
MERRILL ASSET/BLACKROCK	266	AGCO	S	43,100 42.56	n/a	28-Jul	1,724.00 4.0
ADAGE CAPITAL MGMT	030	ANF	В	200,000 42.68	n/a	8-0ct	6,000.00 3.0
METROPOLITAN CAPITAL	044	ANF	SS	9,000 42.31	n/a	8-0ct	450.00 5.0
MILLRACE FUND LP	028	AXL	SS	50,000 8.92	n/a	4-Aug	1,500.00 3.0
MILLRACE FUND LP	028	AXL	S	26,300 8.80	n/a	4-Aug	789.00 3.0
PATTEN & PATTEN	067	BAB	В	75 26.80	n/a	n/a	3.75 5.0
Õ Doug Rogers		BAC.C	В	20 25.1700	n/a	n/a	0.00 0.0
Õ Doug Rogers		BAC.C	В	21 25.1800	n/a	n/a	0.00 0.0
Õ Doug Rogers		BAC.C	В	68 25.1300	n/a	n/a	0.00 0.0
RBC CAPITAL MARKETS	040	BBY	В	10,000 40.89	n/a	n/a	400.00 4.0
WEISS PECK	040	BEAV	S	20,580 32.37	n/a	7-0ct	1,029.00 5.0
FIRST NEW YORK LEDDY	035	BSX	В	20,000 6.18	n/a	n/a	800.00 4.0
MILLENIUM SUB A/C NEW VE	RNON085	BUD	В	20,000 61.57	n/a	15-Sep	800.00 4.0
CIRCLE T/SES PART	035	BYD	S	25,000 8.35	n/a	n/a	1,000.00 4.0
CIRCLE T/SES PART	035	BYI	В	10,000 34.38	n/a	n/a	400.00 4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
SCOPUS FUND	041	BZ	В	50,000	6.68	n/a	n/a	2,500.00	5.0	
SCOPIA CAPITAL	048	CCK	S	50,000	28.55	n/a	n/a	2,000.00	4.0	
CATAPULT	040	CE	В	10,000	33.99	n/a	n/a	400.00	4.0	
MERRILL ASSET/BLACKROCK	266	CMI	S	15,400	93.32	n/a	28-Jul	616.00	4.0	
CATAPULT	040	CPO	SS	25,000	37.69	n/a	n/a	1,000.00	4.0	
ROTHSCHILD ASSET	040	CRI	S	9,658	26.71	n/a	n/a	386.32	4.0	
CAVU CAP ADV	028	CROX	S	25,000	14.57	n/a	n/a	1,250.00	5.0	
PATTEN & PATTEN	067	CSJ	S	100	105.16	n/a	n/a	5.00	5.0	
THIRD COAST CAPITAL	035	CVGI	В	10,000	10.49	n/a	n/a	500.00	5.0	
GOLD SACHS SPECIAL SIT	030	DAN	S	10,000	13.24	n/a	2-Aug	500.00	5.0	
DIAMONDBACK CAP MGMT	232	DFS	SS	10,000	16.96	n/a	7-0ct	500.00	5.0	
EPOCH INV MGMT	030	DVN	В	105,300	66.76	n/a	30-Sep	3,159.00	3.0	
PATTEN & PATTEN	067	EPP	В	50	46.11	n/a	n/a	2.50	5.0	
BUCK CAPITAL MGMT	001	ETH	В	40,000	18.65	n/a	n/a	1,600.00	4.0	
MERRILL ASSET/BLACKROCK	266	FCX	S	6,200	95.56	n/a	n/a	248.00	4.0	
	SCOPUS FUND  SCOPIA CAPITAL  CATAPULT  MERRILL ASSET/BLACKROCK  CATAPULT  ROTHSCHILD ASSET  CAVU CAP ADV  PATTEN & PATTEN  THIRD COAST CAPITAL  GOLD SACHS SPECIAL SIT  DIAMONDBACK CAP MGMT  EPOCH INV MGMT  PATTEN & PATTEN  BUCK CAPITAL MGMT	SCOPUS FUND 041  SCOPIA CAPITAL 048  CATAPULT 040  MERRILL ASSET/BLACKROCK 266  CATAPULT 040  ROTHSCHILD ASSET 040  CAVU CAP ADV 028  PATTEN & PATTEN 067  THIRD COAST CAPITAL 035  GOLD SACHS SPECIAL SIT 030  DIAMONDBACK CAP MGMT 232  EPOCH INV MGMT 030  PATTEN & PATTEN 067  BUCK CAPITAL MGMT 001	SCOPUS FUND  SCOPIA CAPITAL  O48  CCK  CATAPULT  040  CE  MERRILL ASSET/BLACKROCK  CATAPULT  040  CPO  ROTHSCHILD ASSET  040  CRI  CAVU CAP ADV  PATTEN & PATTEN  GOLD SACHS SPECIAL SIT  DIAMONDBACK CAP MGMT  PATTEN & PATTEN  DIAMONDBACK CAP MGMT  PATTEN & PATTEN  O67  EPP  BUCK CAPITAL MGMT  O01  ETH	SCOPUS FUND  SCOPIA CAPITAL  O48  CCK  S  CATAPULT  O40  CE  B  MERRILL ASSET/BLACKROCK  CATAPULT  O40  CPO  SS  ROTHSCHILD ASSET  O40  CRI  S  CAVU CAP ADV  O28  CROX  PATTEN & PATTEN  O67  CSJ  S  THIRD COAST CAPITAL  O35  CVGI  B  GOLD SACHS SPECIAL SIT  O30  DAN  S  DIAMONDBACK CAP MGMT  232  DFS  SS  EPOCH INV MGMT  O67  EPP  B  BUCK CAPITAL MGMT  O01  ETH  B	SCOPUS FUND         041         BZ         B         50,000           SCOPIA CAPITAL         048         CCK         S         50,000           CATAPULT         040         CE         B         10,000           MERRILL ASSET/BLACKROCK         266         CMI         S         15,400           CATAPULT         040         CPO         SS         25,000           ROTHSCHILD ASSET         040         CRI         S         9,658           CAVU CAP ADV         028         CROX         S         25,000           PATTEN & PATTEN         067         CSJ         S         100           THIRD COAST CAPITAL         035         CVGI         B         10,000           GOLD SACHS SPECIAL SIT         030         DAN         S         10,000           DIAMONDBACK CAP MGMT         232         DFS         SS         10,000           EPOCH INV MGMT         030         DVN         B         105,300           PATTEN & PATTEN         067         EPP         B         50           BUCK CAPITAL MGMT         001         ETH         B         40,000	SCOPUS FUND         041         BZ         B         50,000         6.68           SCOPIA CAPITAL         048         CCK         S         50,000         28.55           CATAPULT         040         CE         B         10,000         33.99           MERRILL ASSET/BLACKROCK         266         CMI         S         15,400         93.32           CATAPULT         040         CPO         SS         25,000         37.69           ROTHSCHILD ASSET         040         CRI         S         9,658         26.71           CAVU CAP ADV         028         CROX         S         25,000         14.57           PATTEN & PATTEN         067         CSJ         S         100         105.16           THIRD COAST CAPITAL         035         CVGI         B         10,000         10.49           GOLD SACHS SPECIAL SIT         030         DAN         S         10,000         13.24           DIAMONDBACK CAP MGMT         232         DFS         SS         10,000         16.96           EPOCH INV MGMT         030         DVN         B         105,300         66.76           PATTEN & PATTEN         067         EPP         B         50	SCOPUS FUND 041 BZ B 50,000 6.68 n/a  SCOPIA CAPITAL 048 CCK S 50,000 28.55 n/a  CATAPULT 040 CE B 10,000 33.99 n/a  MERRILL ASSET/BLACKROCK 266 CMI S 15,400 93.32 n/a  CATAPULT 040 CPO SS 25,000 37.69 n/a  ROTHSCHILD ASSET 040 CRI S 9,658 26.71 n/a  CAVU CAP ADV 028 CROX S 25,000 14.57 n/a  PATTEN & PATTEN 067 CSJ S 100 105.16 n/a  THIRD COAST CAPITAL 035 CVGI B 10,000 10.49 n/a  GOLD SACHS SPECIAL SIT 030 DAN S 10,000 13.24 n/a  DIAMONDBACK CAP MGMT 232 DFS SS 10,000 16.96 n/a  EPOCH INV MGMT 030 DVN B 105,300 66.76 n/a  BUCK CAPITAL MGMT 001 ETH B 40,000 18.65 n/a	SCOPUS FUND 041 BZ B 50,000 6.68 n/a n/a  SCOPIA CAPITAL 048 CCK S 50,000 28.55 n/a n/a  CATAPULT 040 CE B 10,000 33.99 n/a n/a  MERRILL ASSET/BLACKROCK 266 CMI S 15,400 93.32 n/a 28-Jul  CATAPULT 040 CPO SS 25,000 37.69 n/a n/a  ROTHSCHILD ASSET 040 CRI S 9,658 26.71 n/a n/a  CAVU CAP ADV 028 CROX S 25,000 14.57 n/a n/a  PATTEN & PATTEN 067 CSJ S 100 105.16 n/a n/a  THIRD COAST CAPITAL 035 CVGI B 10,000 10.49 n/a n/a  GOLD SACHS SPECIAL SIT 030 DAN S 10,000 13.24 n/a 2-Aug  DIAMONDBACK CAP MGMT 232 DFS SS 10,000 16.96 n/a 7-Oct  EPOCH INV MGMT 030 DVN B 105,300 66.76 n/a 30-Sep  PATTEN & PATTEN 067 EPP B 50 46.11 n/a n/a  BUCK CAPITAL MGMT 001 ETH B 40,000 18.65 n/a n/a	SCOPUS FUND         041         BZ         B         50,000         6.68         n/a         n/a         2,500.00           SCOPIA CAPITAL         048         CCK         S         50,000         28.55         n/a         n/a         2,000.00           CATAPULT         040         CE         B         10,000         33.99         n/a         n/a         400.00           MERRILL ASSET/BLACKROCK         266         CMI         S         15,400         93.32         n/a         28-Jul         616.00           CATAPULT         040         CPO         SS         25,000         37.69         n/a         n/a         1,000.00           ROTHSCHILD ASSET         040         CRI         S         25,000         14.57         n/a         n/a         1,250.00           PATTEN & PATTEN         067         CSJ         S         10,000         10.49         n/a         n/a         500.00           GOLD SACHS SPECIAL SIT         030         DAN         S         10,000         10.49         n/a         n/a         7-Oct         500.00           DIAMONDBACK CAP MGMT         232         DFS         SS         10,000         16.96         n/a         7-Oct	SCOPUS FUND         041         BZ         B         50,000         6.68         n/a         n/a         2,500.00         5.0           SCOPIA CAPITAL         048         CCK         S         50,000         28.55         n/a         n/a         2,000.00         4.0           CATAPULT         040         CE         B         10,000         33.99         n/a         n/a         400.00         4.0           MERRILL ASSET/BLACKROCK         266         CMI         S         15,400         93.32         n/a         28-Jul         616.00         4.0           CATAPULT         040         CPO         SS         25,000         37.69         n/a         n/a         1,000.00         4.0           ROTHSCHILD ASSET         040         CRI         S         9,658         26.71         n/a         n/a         386.32         4.0           CAVU CAP ADV         028         CROX         S         25,000         14.57         n/a         n/a         1,250.00         5.0           PATIEN & PATIEN         067         CSJ         S         100         105.16         n/a         n/a         500.00         5.0           GOLD SACHS SPECIAL SIT         030

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	KLEINHEINZ CAP PART	031	FDO	SS	20,000	45.78	n/a	7-0ct	1,000.00	5.0
	LATEFF MGMT	035	F	S	2,500	13.51	n/a	4-Oct	250.00	10.0
	OZ MGMT	040	F	С	236,933	13.71	n/a	4-0ct	7,107.99	3.0
	SLS CAPITAL LLC	224	F	В	207,000	13.39	n/a	4-Oct	8,280.00	4.0
	PATTEN & PATTEN	067	GVI	В	30	111.21	n/a	n/a	1.50	5.0
	COUGAR TRADING	044	GYMB	В	10,000	53.39	n/a	8-0ct	500.00	5.0
	COUGAR TRADING	044	GYMB	SS	10,000	52.85	n/a	8-0ct	500.00	5.0
	ROARING BLUE LION MGMT	012	GYMB	S	1,200	52.96	n/a	8-0ct	48.00	4.0
	SIGMA CAPITAL ASSOCIATES	041	GYMB	В	25,000	53.36	n/a	8-Oct	875.00	3.5
	MERRILL ASSET/BLACKROCK	266	HTZ	В	65 <b>,</b> 220	10.05	n/a	n/a	2,608.80	4.0
	CIRCLE T/SES PART	035	IGT	S	25 <b>,</b> 000	14.16	n/a	5-0ct	1,000.00	4.0
	TALKOT CAPITAL LLC	084	IP	В	20,000	22.20	n/a	7-0ct	800.00	4.0
õ	Ravi Sadarangani		JBSS	s	1000	13.7900	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	s	20,000	34.38	n/a	n/a	800.00	4.0
	BUCK CAPITAL MGMT	001	JCP	В	100,000	32.85	n/a	8-0ct	4,000.00	4.0
	FIRST NY SEC/CHRIS	041	JCP	SS	15,000	33.72	n/a	8-0ct	750.00	5.0
	BUCK CAPITAL MGMT	001	JNY	S	70,000	20.31	n/a	29-Jul	2,800.00	4.0
	GCORE MANAGEMENT	041	KO	SS	25,000	59.33	n/a	22-Jul	1,250.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
JP MORGAN VENTURES	046	KR	В	25,000	21.17	n/a	n/a	1,250.00	5.0	
KACELA CAPITAL	034	KSS	В	25,000	53.97	n/a	1-0ct	1,000.00	4.0	
PERRY PARTNERS	085	LPS	S	100,000	26.70	n/a	n/a	5,000.00	5.0	
NUMERIC	060	LTD	S	82,100	28.90	n/a	n/a	2,463.00	3.0	
SONTERRA CAP	041	MMM	SS	40,000	88.82	n/a	17-Sep	1,600.00	4.0	
CENTURION PARTNERS	041	MMR	S	45,000	18.35	n/a	n/a	1,800.00	4.0	
PZENA INV ADV	044	MS	В	11,050	25.28	n/a	8-0ct	386.75	3.5	
BALYASNY ASSET MGMT	044	MTB	В	25,000	76.87	n/a	n/a	1,250.00	5.0	
SAC CAPITAL/M GRONET	030	М	S	10,000	24.04	n/a	1-0ct	350.00	3.5	
DAVIDSON KEMPNER ADVISOR	040	NCR	S	20,000	13.68	n/a	n/a	1,000.00	5.0	
PIONEER PATH	226	OMX	В	14,200	14.22	n/a	n/a	426.00	3.0	
OSS CAPITAL	067	PBI	SS	25,000	21.87	n/a	n/a	750.00	3.0	
HARBORWATCH/DIAMBACK	232	POT	В	5,000	144.48	n/a	n/a	250.00	5.0	
PATTEN & PATTEN	067	PX	В	20	90.68	n/a	23-Aug	1.00	5.0	
PATTEN & PATTEN	067	QCOM	В	25	44.77	n/a	n/a	1.25	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
VISIUM/BALY BOBBY	044	SBUX	В	25,000	26.15	n/a	29-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	В	20,000	24.59	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	SRZ	В	266	3.75	n/a	n/a	13.30	5.0
BMO NESBITT BURNS	041	SSCC	S	5,000	20.03	n/a	7-0ct	500.00	10.0
CAVU CAP ADV	028	STX	В	35,000	12.30	n/a	n/a	1,750.00	5.0
MERRILL ASSET/BLACKROCK	266	TEX	S	68,710	24.49	n/a	23-Jul	2,748.40	4.0
CATAPULT	040	TYC	В	25,000	37.47	n/a	18-Aug	1,000.00	4.0
CAVU CAP ADV	028	URBN	SS	30,000	31.45	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	UTX	В	25	72.91	n/a	n/a	1.25	5.0
PATTEN & PATTEN	067	WY	В	100	15.82	n/a	26-Aug	5.00	5.0

TOTAL (Trade Date): 90,129.81

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI 1	Research	Comm.	Shr.
AO,	10/07	SCOPIA CAPITAL (SCOASTATE)	048	CCK	S	2,782	29.04	n/a	n/a	111.28	4.0
AO,CXL	10/07	SCOPIA CAPITAL (SCOAGSBULK)	048	CCK	S	2,782	29.04	n/a	n/a	111.28	4.0
CRT	10/08	TALKOT CAPITAL LLC (TALKJEFF)	084	IP	В	20,000	22.20	n/a	7-0ct	800.00	4.0
TOTAL	(AO, (	CXL, CRT):							;	800.00	

TOTAL (AO, CXL, CRT):	800.00
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	90,129.81 800.00

## 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