

## **Daily Compliance Activity Report** Trade Date: 08/17/2010

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

|                          |      |        |     |                 | 101   |     | MALLIGI  | Heibe vio |        |
|--------------------------|------|--------|-----|-----------------|-------|-----|----------|-----------|--------|
| Account                  | RR # | Symbol | B/S | Shares          | Price | MRI | Research | Comm.     | ¢/Shr. |
| LIEBAU ASSET             | 048  | ADSK   | S   | 5,000           | 27.85 | n/a | n/a      | 250.00    | 5.0    |
| CASTLEROCK               | 040  | ANF    | SS  | 77 <b>,</b> 920 | 35.82 | n/a | 6-Aug    | 3,116.80  | 4.0    |
| GREEN ARROW DOUG         | 040  | ANF    | В   | 5,000           | 36.33 | n/a | 6-Aug    | 250.00    | 5.0    |
| DENVER INST. ADV         | 046  | ANN    | В   | 2,100           | 15.10 | n/a | n/a      | 84.00     | 4.0    |
| WATERFRONT CAP           | 028  | BBBY   | В   | 18,000          | 38.16 | n/a | n/a      | 720.00    | 4.0    |
| KLEINHEINZ CAP PART      | 031  | BRCM   | В   | 150,000         | 32.69 | n/a | n/a      | 7,500.00  | 5.0    |
| MTB INV ADV              | 034  | CGI    | В   | 5,175           | 12.80 | n/a | n/a      | 258.75    | 5.0    |
| SIGMA CAPITAL ASSOCIATES | 041  | CHS    | SS  | 25 <b>,</b> 000 | 8.73  | n/a | 5-Feb    | 875.00    | 3.5    |
| SIGMA CAPITAL ASSOCIATES | 041  | COST   | S   | 50,000          | 56.02 | n/a | n/a      | 1,750.00  | 3.5    |
| APEX CAPITAL MGMT.       | 261  | CY     | SS  | 100,000         | 10.50 | n/a | n/a      | 4,000.00  | 4.0    |
| DENVER INST. ADV         | 046  | FINL   | В   | 4,000           | 13.31 | n/a | n/a      | 160.00    | 4.0    |
| BENCHMARK                | 025  | FL     | В   | 20,000          | 13.10 | n/a | 13-Aug   | 800.00    | 4.0    |
| BIXBY LLC                | 070  | FTR    | S   | 8,000           | 7.65  | n/a | n/a      | 240.00    | 3.0    |
| CASTLE ARK               | 031  | GES    | S   | 88 <b>,</b> 760 | 37.95 | n/a | 19-Jul   | 4,438.00  | 5.0    |
| GREEN ARROW DOUG         | 040  | HD     | SS  | 9,150           | 27.87 | n/a | 17-Aug   | 457.50    | 5.0    |

| Account                   | RR #    | Symbol | B/S | Shares | Price     | MRI | Research  | Comm.¢   | :/Shr.   |  |
|---------------------------|---------|--------|-----|--------|-----------|-----|-----------|----------|----------|--|
| KLEINHEINZ CAP PART       | 031     | HD     | В   | 75,000 | 28.15     | n/a | 17-Aug    | 3,750.00 | 5.0      |  |
| BIXBY LLC                 | 070     | INTC   | S   | 2,000  | 19.74     | n/a | n/a       | 60.00    | 3.0      |  |
| WEDBUSH/PACIFIC GROWTH EQ | TY LLCO | 84 IP  |     | s 7,   | 500 22.14 |     | n/a 28-Ju | ıl 375   | 5.00 5.0 |  |
| LISTED ERR                | 099     | IP     | В   | 2,500  | 22.14     | n/a | 28-Jul    | 0.00     | 0.0      |  |
| LISTED ERR                | 099     | IP     | s   | 2,500  | 22.14     | n/a | 28-Jul    | 0.00     | 0.0      |  |
| EXIS CAPITAL              | 044     | JWN    | SS  | 15,000 | 30.96     | n/a | 13-Aug    | 750.00   | 5.0      |  |
| SIGMA CAP BOBBY           | 044     | КВН    | SS  | 8,500  | 10.37     | n/a | n/a       | 297.50   | 3.5      |  |
| DENVER INST. ADV          | 046     | KCP    | В   | 2,600  | 12.55     | n/a | n/a       | 104.00   | 4.0      |  |
| EXIS CAPITAL              | 044     | KSS    | SS  | 5,000  | 45.20     | n/a | 13-Aug    | 250.00   | 5.0      |  |
| MTB INV ADV               | 034     | KSU    | В   | 4,150  | 35.06     | n/a | n/a       | 207.50   | 5.0      |  |
| SIGMA CAP BOBBY           | 044     | LEN    | SS  | 7,200  | 13.33     | n/a | n/a       | 252.00   | 3.5      |  |
| SIGMA CAP BOBBY           | 044     | MDC    | SS  | 3,500  | 26.47     | n/a | n/a       | 122.50   | 3.5      |  |
| THIRD COAST CAPITAL       | 035     | MON    | В   | 7,500  | 59.04     | n/a | 12-Aug    | 375.00   | 5.0      |  |
| SUN AMERICA ASSET MGMT    | 030     | MSFT   | В   | 5,100  | 24.79     | n/a | n/a       | 204.00   | 4.0      |  |
| MTB INV ADV               | 034     | MSM    | В   | 1,790  | 49.74     | n/a | n/a       | 89.50    | 5.0      |  |
| SIGMA CAP BOBBY           | 044     | MTH    | В   | 5,600  | 16.70     | n/a | n/a       | 196.00   | 3.5      |  |
| MTB INV ADV               | 034     | NDSN   | В   | 2,075  | 66.55     | n/a | n/a       | 103.75   | 5.0      |  |

|                        |  |  |  |  |   |  |  |   |   | H                          |
|------------------------|--|--|--|--|---|--|--|---|---|----------------------------|
| Account                | RR #   | Symbol   | B/S  | Shares   | Price   | MRI  | Research   | Comm.   | Shr.  |                            |
| SUN AMERICA ASSET MGMT | 030  | OMX  | В  | 15,000   | 11.35   | n/a  | n/a  | 600.00  | 4.0   |                            |
| DENVER INST. ADV       | 046  | PERY   | В  | 1,600  | 21.95   | n/a  | n/a  | 64.00   | 4.0   |                            |
| SIGMA CAP BOBBY        | 044  | РНМ  | В  | 13,600   | 8.18  | n/a  | n/a  | 476.00  | 3.5   |                            |
| DENVER INST. ADV       | 046  | PLCE   | В  | 1,800  | 42.11   | n/a  | 16-Aug   | 72.00   | 4.0   |                            |
| PZENA INV ADV          | 044  | POR  | S  | 32,375   | 19.94   | n/a  | n/a  | 1,133.14                                      | 3.5   |                            |
| GOLD SACHS SPECIAL SIT | 030  | PTV  | S  | 150,000  | 32.61   | n/a  | n/a  | 7,500.00                                      | 5.0   |                            |
| SUFFOLK CAPITAL MGMT   | 040  | PX   | S  | 100,000  | 89.53   | n/a  | 28-Jul   | 4,000.00                                      | 4.0   |                            |
| SIGMA CAP BOBBY        | 044  | RYL  | В  | 6,400  | 16.28   | n/a  | n/a  | 224.00  | 3.5   |                            |
| DENVER INST. ADV       | 046  | SHOO   | В  | 1,200  | 36.00   | n/a  | n/a  | 48.00   | 4.0   |                            |
| CHILTON CAPITAL MGMT.  | 036  | SKS  | С  | 50,000   | 7.85  | n/a  | n/a  | 1,500.00                                      | 3.0   |                            |
| ISLE RIDGE PARTNERS    | 041  | SLE  | В  | 235,000  | 14.90   | n/a  | n/a  | 11,750.00                                     | 5.0   |                            |
| BERMAN CAPITAL MGMT    | 046  | SPY  | S  | 25 <b>,</b> 000  | 109.86  | n/a  | n/a  | 750.00  | 3.0   |                            |
| CASTLEROCK             | 040  | SSCC   | S  | 44,477   | 18.45   | n/a  | 3-Aug  | 1,779.08                                      | 4.0   |                            |
| TALKOT CAPITAL LLC     | 084  | ST   | S  | 10,000   | 17.50   | n/a  | n/a  | 300.00  | 3.0   |                            |
| THIRD COAST CAPITAL    | 035  | SUP  | В  | 10,000   | 15.20   | n/a  | 16-Aug   | 500.00  | 5.0   |                            |
|                        | SUN AMERICA ASSET MGMT  DENVER INST. ADV  SIGMA CAP BOBBY  DENVER INST. ADV  PZENA INV ADV  GOLD SACHS SPECIAL SIT  SUFFOLK CAPITAL MGMT  SIGMA CAP BOBBY  DENVER INST. ADV  CHILTON CAPITAL MGMT.  ISLE RIDGE PARTNERS  BERMAN CAPITAL MGMT  CASTLEROCK  TALKOT CAPITAL LLC | SUN AMERICA ASSET MGMT 030  DENVER INST. ADV 046  SIGMA CAP BOBBY 044  DENVER INST. ADV 046  PZENA INV ADV 044  GOLD SACHS SPECIAL SIT 030  SUFFOLK CAPITAL MGMT 040  SIGMA CAP BOBBY 044  DENVER INST. ADV 046  CHILTON CAPITAL MGMT. 036  ISLE RIDGE PARTNERS 041  BERMAN CAPITAL MGMT 046  CASTLEROCK 040  TALKOT CAPITAL LLC 084 | SUN AMERICA ASSET MGMT 030 OMX  DENVER INST. ADV 046 PERY  SIGMA CAP BOBBY 044 PHM  DENVER INST. ADV 046 PLCE  PZENA INV ADV 044 POR  GOLD SACHS SPECIAL SIT 030 PTV  SUFFOLK CAPITAL MGMT 040 PX  SIGMA CAP BOBBY 044 RYL  DENVER INST. ADV 046 SHOO  CHILTON CAPITAL MGMT. 036 SKS  ISLE RIDGE PARTNERS 041 SLE  BERMAN CAPITAL MGMT 046 SPY  CASTLEROCK 040 SSCC  TALKOT CAPITAL LLC 084 ST | SUN AMERICA ASSET MGMT 030 OMX B  DENVER INST. ADV 046 PERY B  SIGMA CAP BOBBY 044 PHM B  DENVER INST. ADV 046 PLCE B  PZENA INV ADV 044 POR S  GOLD SACHS SPECIAL SIT 030 PTV S  SUFFOLK CAPITAL MGMT 040 PX S  SIGMA CAP BOBBY 044 RYL B  DENVER INST. ADV 046 SHOO B  CHILTON CAPITAL MGMT. 036 SKS C  ISLE RIDGE PARTNERS 041 SLE B  BERMAN CAPITAL MGMT 046 SPY S  CASTLEROCK 040 SSCC S  TALKOT CAPITAL LLC 084 ST S | SUN AMERICA ASSET MGMT 030 OMX B 15,000  DENVER INST. ADV 046 PERY B 1,600  SIGMA CAP BOBBY 044 PHM B 13,600  DENVER INST. ADV 046 PLCE B 1,800  PZENA INV ADV 044 POR S 32,375  GOLD SACHS SPECIAL SIT 030 PTV S 150,000  SUFFOLK CAPITAL MGMT 040 PX S 100,000  SIGMA CAP BOBBY 044 RYL B 6,400  DENVER INST. ADV 046 SHOO B 1,200  CHILTON CAPITAL MGMT. 036 SKS C 50,000  ISLE RIDGE PARTNERS 041 SLE B 235,000  BERMAN CAPITAL MGMT 046 SPY S 25,000  CASTLEROCK 040 SSCC S 44,477  TALKOT CAPITAL LLC 084 ST S 10,000 | SUN AMERICA ASSET MGMT 030 OMX B 15,000 11.35  DENVER INST. ADV 046 PERY B 1,600 21.95  SIGMA CAP BOBBY 044 PHM B 13,600 8.18  DENVER INST. ADV 046 PLCE B 1,800 42.11  PZENA INV ADV 044 POR S 32,375 19.94  GOLD SACHS SPECIAL SIT 030 PTV S 150,000 32.61  SUFFOLK CAPITAL MGMT 040 PX S 100,000 89.53  SIGMA CAP BOBBY 044 RYL B 6,400 16.28  DENVER INST. ADV 046 SHOO B 1,200 36.00  CHILTON CAPITAL MGMT. 036 SKS C 50,000 7.85  ISLE RIDGE PARTNERS 041 SLE B 235,000 14.90  BERMAN CAPITAL MGMT 046 SPY S 25,000 109.86  CASTLEROCK 040 SSCC S 44,477 18.45  TALKOT CAPITAL LLC 084 ST S 10,000 17.50 | SUN AMERICA ASSET MGMT 030 OMX B 15,000 11.35 n/a  DENVER INST. ADV 046 PERY B 1,600 21.95 n/a  SIGMA CAP BOBBY 044 PHM B 13,600 8.18 n/a  DENVER INST. ADV 046 PLCE B 1,800 42.11 n/a  PZENA INV ADV 044 POR S 32,375 19.94 n/a  GOLD SACHS SPECIAL SIT 030 PTV S 150,000 32.61 n/a  SUFFOLK CAPITAL MGMT 040 PX S 100,000 89.53 n/a  SIGMA CAP BOBBY 044 RYL B 6,400 16.28 n/a  DENVER INST. ADV 046 SHOO B 1,200 36.00 n/a  CHILTON CAPITAL MGMT. 036 SKS C 50,000 7.85 n/a  ISLE RIDGE PARTNERS 041 SLE B 235,000 14.90 n/a  BERMAN CAPITAL MGMT 046 SPY S 25,000 109.86 n/a  CASTLEROCK 040 SSCC S 44,477 18.45 n/a  TALKOT CAPITAL LLC 084 ST S 10,000 17.50 n/a | SUN AMERICA ASSET MGMT 030 0MX B 15,000 11.35 | SUN AMERICA ASSET MGMT 030 CMX B 15,000 11.35 | SUN AMERICA ASSET MGMT 030 |

| Account              | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/  | Shr. |
|----------------------|------|--------|-----|---------|-------|-----|----------|----------|------|
| MTB INV ADV          | 034  | TGI    | В   | 3,125   | 71.90 | n/a | n/a      | 156.25   | 5.0  |
| BNP PARIBAS SEC      | 040  | TJX    | SS  | 10,000  | 41.91 | n/a | 6-Aug    | 400.00   | 4.0  |
| ROTHSCHILD ASSET     | 040  | TPX    | S   | 15,360  | 29.21 | n/a | n/a      | 614.40   | 4.0  |
| SAXON WOODS ADVISORS | 242  | TSCO   | S   | 10,000  | 69.82 | n/a | n/a      | 400.00   | 4.0  |
| NEUBERGER BERMAN     | 036  | UDR    | S   | 132,300 | 20.30 | n/a | n/a      | 5,292.00 | 4.0  |
| MAIRS AND POWER INV  | 030  | WFC    | В   | 10,000  | 25.38 | n/a | 10-Aug   | 500.00   | 5.0  |
| PLATTE RIVER CAPITAL | 240  | WMT    | S   | 32,050  | 51.44 | n/a | 17-Aug   | 1,282.00 | 4.0  |
| WATERFRONT CAP       | 028  | WSM    | S   | 25,000  | 27.53 | n/a | n/a      | 1,000.00 | 4.0  |
| DENVER INST. ADV     | 046  | WWW    | В   | 1,900   | 27.06 | n/a | n/a      | 76.00    | 4.0  |
| GREEN ARROW DOUG     | 040  | XRT    | В   | 16,400  | 37.52 | n/a | n/a      | 820.00   | 5.0  |

TOTAL (Trade Date): 73,273.67

## Cancel/Corrects and As-Of Trades

| Type    | Date  | Account                             | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.   | ¢/Shr. |
|---------|-------|-------------------------------------|------|--------|-----|---------|--------|-----|----------|---------|--------|
| AO,CRT  | 08/16 | SIGMA CAP BOBBY (SIBEDBPB)          | 044  | ADM    | S   | 25,000  | 30.15  | n/a | 3-Aug    | 875.00  | 3.5    |
| AO,CXL  | 08/16 | SIGMA CAP BOBBY (SIBEBOBBY)         | 044  | ADM    | S   | 25,000  | 30.15  | n/a | 3-Aug    | 875.00  | 3.5    |
| AO,CRT  | 08/16 | SIGMA CAP BOBBY (SIBEDBPB)          | 044  | FCX    | S   | 16,600  | 71.16  | n/a | n/a      | 581.00  | 3.5    |
| AO,CXL  | 08/16 | SIGMA CAP BOBBY (SIBEBOBBY)         | 044  | FCX    | S   | 16,600  | 71.16  | n/a | n/a      | 581.00  | 3.5    |
| AO,     | 08/16 | WEINTRAUB CAPITAL MGT. (WEINMAIN A) | 040  | FL     | В   | 50,000  | 12.66  | n/a | 13-Aug   | 2000.00 | 4.0    |
| AO,CRT  | 08/16 | SIGMA CAP BOBBY (SIBEDBPB)          | 044  | GE     | В   | 50,000  | 15.48  | n/a | n/a      | 1750.00 | 3.5    |
| AO,CXL  | 08/16 | SIGMA CAP BOBBY (SIBEBOBBY)         | 044  | GE     | В   | 50,000  | 15.48  | n/a | n/a      | 1750.00 | 3.5    |
| AO, CRT | 08/16 | SIGMA CAP BOBBY (SIBEDBPB)          | 044  | IWM    | SS  | 25,000  | 61.80  | n/a | n/a      | 875.00  | 3.5    |
| AO, CRT | 08/16 | SIGMA CAP BOBBY (SIBEDBPB)          | 044  | IWM    | SS  | 25,000  | 61.73  | n/a | n/a      | 875.00  | 3.5    |
| AO,CXL  | 08/16 | SIGMA CAP BOBBY (SIBEBOBBY)         | 044  | MWI    | SS  | 25,000  | 61.80  | n/a | n/a      | 875.00  | 3.5    |
| AO,CXL  | 08/16 | SIGMA CAP BOBBY (SIBEBOBBY)         | 044  | IWM    | SS  | 25,000  | 61.73  | n/a | n/a      | 875.00  | 3.5    |
| AO,     | 08/16 | WILLIAM BLAIR (WBLA43CARV)          | 031  | KSS    | S   | 2,512   | 44.36  | n/a | 13-Aug   | 100.48  | 4.0    |
| AO,     | 08/16 | WILLIAM BLAIR (WBLA43LGCA)          | 031  | KSS    | S   | 1,294   | 44.36  | n/a | 13-Aug   | 51.76   | 4.0    |
| AO,     | 08/16 | WILLIAM BLAIR (WBLA43WPEN)          | 031  | KSS    | S   | 1,800   | 44.36  | n/a | 13-Aug   | 72.00   | 4.0    |
| AO,CXL  | 08/13 | DAVIDSON KEMPNER ADVISOR (DAVISB)   | 040  | SPY    | SS  | 5,130   | 108.59 | n/a | n/a      | 256.50  | 5.0    |
| AO,     | 08/13 | DAVIDSON KEMPNER ADVISOR (DAVISB)   | 040  | SPY    | SS  | 5,130   | 108.54 | n/a | n/a      | 256.50  | 5.0    |
| AO,CXL  | 08/12 | CASTLEROCK (CASTDBPB)               | 040  | SSCC   | В   | 31,629  | 18.42  | n/a | 3-Aug    | 1265.16 | 4.0    |
| AO, CRT | 08/12 | CASTLEROCK (CASTDBPB)               | 040  | SSCC   | В   | 31,427  | 18.42  | n/a | 3-Aug    | 1257.08 | 4.0    |
| AO,CXL  | 08/12 | CASTLEROCK (CASTMS)                 | 040  | SSCC   | В   | 75,014  | 18.42  | n/a | 3-Aug    | 3000.56 | 4.0    |
| AO, CRT | 08/12 | CASTLEROCK (CASTMERRIL)             | 040  | SSCC   | В   | 74,533  | 18.42  | n/a | 3-Aug    | 2981.32 | 4.0    |
| AO,CXL  | 08/12 | CASTLEROCK (CASTUBS)                | 040  | SSCC   | В   | 222,680 | 18.42  | n/a | 3-Aug    | 8907.20 | 4.0    |
| AO,CRT  | 08/12 | CASTLEROCK (CASTUBS)                | 040  | SSCC   | В   | 223,363 | 18.42  | n/a | 3-Aug    | 8934.52 | 4.0    |
| AO,     | 08/16 | ELM RIDGE ADVISORS (ELMRGS)         | 044  | TIN    | В   | 15,500  | 18.05  | n/a | 27-Jul   | 620.00  | 4.0    |

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| TOTAL (RUN DATE) / NFS: | 76,117.91 |
|-------------------------|-----------|
| TOTAL (AO, CXL, CRT):   | 2,844.24  |
| TOTAL (Trade Date):     | 73,273.67 |

## 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