



Daily Compliance Activity Report

Trade Date: 08/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	145,000	13.23	n/a	27-Aug	5,800.00	4.0
EXIS CAPITAL	044	AEO	B	5,000	13.08	n/a	27-Aug	250.00	5.0
US BANCORP	030	ANN	B	91,952	15.30	n/a	n/a	4,597.60	5.0
BUCK CAPITAL MGMT	001	CAB	B	40,000	15.86	n/a	n/a	1,600.00	4.0
TRELLUS PARTNERS LP	028	DAN	B	25,000	10.37	n/a	2-Aug	1,250.00	5.0
DSG CAPITAL	225	DJP	S	4,000	39.79	n/a	n/a	120.00	3.0
1798 CAP/LOMBARD ASSET	040	FOE	B	40,000	10.24	n/a	n/a	2,000.00	5.0
SENATOR INVESTMENT GROUP	036	HUN	B	20,000	9.14	n/a	n/a	600.00	3.0
CATAPULT	040	JPM	S	10,000	36.45	n/a	20-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	29.31	n/a	27-Aug	400.00	4.0
EXIS CAPITAL	044	JWN	SS	20,000	29.27	n/a	27-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	KMX	B	60,000	20.70	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	46.99	n/a	27-Aug	400.00	4.0
EXIS CAPITAL	044	KSS	B	30,000	46.79	n/a	27-Aug	1,500.00	5.0
1798 CAP/LOMBARD ASSET	040	MCP	B	23,300	16.00	n/a	n/a	1,165.00	5.0
TRUSTCO/SUNTRUST	040	MSFT	B	22,250	23.73	n/a	n/a	867.75	3.9

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	M	B	5,000	19.34	n/a	27-Aug	250.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	14.65	n/a	26-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	76.36	n/a	5-Aug	400.00	4.0
EXIS CAPITAL	044	RL	B	5,000	75.50	n/a	5-Aug	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	SKX	B	86,725	26.35	n/a	n/a	2,601.75	3.0
GEORGE WEISS	034	SSCC	B	75,000	16.71	n/a	26-Aug	2,250.00	3.0
FARALLON CAP MGMT	040	TGT	B	30,000	50.94	n/a	27-Aug	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	TROW	SS	5,000	44.13	n/a	n/a	250.00	5.0
DAWSON SANBERG & CO	041	TSCO	B	7,600	68.51	n/a	n/a	380.00	5.0
TRUSTCO/SUNTRUST	040	TXN	B	46,100	23.38	n/a	n/a	1,797.90	3.9
LEVIN CAPITAL STRATEGIES	012	T	SS	15,000	26.83	n/a	n/a	450.00	3.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	30.87	n/a	n/a	875.00	3.5
LEVIN CAPITAL STRATEGIES	012	VZ	SS	15,000	29.74	n/a	n/a	450.00	3.0
TOTAL (Trade Date) :								36,005.00	

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) :									36,005.00
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									36,005.00

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