



Daily Compliance Activity Report

Trade Date: 08/24/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	ADP	B	25,000	38.84	n/a	n/a	1,000.00	4.0
BANK OF AMERICA/MERRILL	259	ANR	B	250	37.61	n/a	n/a	10.00	4.0
MTB INV ADV	034	ARM	S	80,925	13.36	n/a	n/a	4,046.25	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	B	25,000	22.60	n/a	20-Aug	875.00	3.5
BUCK CAPITAL MGMT	001	AVP	S	20,000	29.28	n/a	30-Jul	800.00	4.0
M&I FUNDS	047	BBBY	B	10,500	36.85	n/a	n/a	420.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		BIG	B	5,000	30.73	n/a	24-Aug	250.00	5.0
STELLIAM INV ADV	034	CMCSK	B	20,000	16.00	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	CMS	B	108,476	17.46	n/a	n/a	4,339.04	4.0
BUCK CAPITAL MGMT	001	COH	S	30,000	37.08	n/a	4-Aug	1,200.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	7,500	9.03	n/a	n/a	375.00	5.0
STANDARD PACIFIC CAPITAL	040	CX	B	250,000	7.72	n/a	n/a	10,000.00	4.0
MTB INV ADV	034	DAN	S	23,850	10.38	n/a	2-Aug	1,192.50	5.0
OZ MGMT	040	DAN	B	35,424	10.46	n/a	2-Aug	1,062.72	3.0
BUCK CAPITAL MGMT	001	DG	B	30,000	28.26	n/a	8-Jun	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ISLE RIDGE PARTNERS	041	DIN	S	21,600	31.05	n/a	n/a	864.00	4.0
ISLE RIDGE PARTNERS	041	DRI	S	27,500	40.49	n/a	8-Jul	1,100.00	4.0
SOUTH POINT CAP	067	FAS	SS	100,000	17.95	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	FL	B	60,000	11.91	n/a	20-Aug	2,400.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	14.01	n/a	23-Aug	400.00	4.0
OZ MGMT	040	F	B	58,856	11.29	n/a	4-Aug	1,765.68	3.0
EXIS CAPITAL	044	HWD	B	15,000	10.26	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	32.86	n/a	n/a	400.00	4.0
MACKLOWE ASSET MGMT	041	JCP	S	30,000	20.46	n/a	13-Aug	1,200.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	15.91	n/a	29-Jul	800.00	4.0
EXIS CAPITAL	044	JNY	B	1,600	15.90	n/a	29-Jul	80.00	5.0
FIRST NY SEC/CHRIS	041	JWN	B	10,000	30.54	n/a	13-Aug	500.00	5.0
EXIS CAPITAL	044	KSS	SS	15,000	46.31	n/a	13-Aug	750.00	5.0
HUNTER GLOBAL INVESTOR	067	LEA	SS	66,500	74.99	n/a	4-Aug	3,325.00	5.0
BUCK CAPITAL MGMT	001	LL	B	10,000	19.71	n/a	n/a	400.00	4.0
M&I FUNDS	047	LTD	S	7,044	24.46	n/a	n/a	281.76	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MW	B	10,000	18.78	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	M	S	330,000	19.52	n/a	12-Aug	13,200.00	4.0
EXIS CAPITAL	044	M	B	5,000	19.65	n/a	12-Aug	250.00	5.0
VISIUM/BALY BOBBY	044	PFCB	B	5,900	41.25	n/a	28-Jul	295.00	5.0
BUCK CAPITAL MGMT	001	PIR	B	70,000	5.90	n/a	n/a	2,100.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	22.16	n/a	20-Jul	1,000.00	5.0
EXIS CAPITAL	044	PVH	B	12,500	46.54	n/a	19-Jul	625.00	5.0
PERRY PARTNERS	085	RIMM	B	50,000	47.06	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	80.86	n/a	5-Aug	1,200.00	4.0
MFP INVESTORS	085	RUTH	B	7,800	3.21	n/a	n/a	234.00	3.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	26.55	n/a	n/a	1,200.00	4.0
CASTLEROCK	040	SSCC	S	115,340	17.80	n/a	3-Aug	4,613.60	4.0
ELM RIDGE ADVISORS	044	SSCC	B	70,000	17.80	n/a	3-Aug	2,800.00	4.0
MTB INV ADV	034	TEN	S	5,200	24.35	n/a	n/a	260.00	5.0
BANK OF AMERICA/MERRILL	259	TIN	B	16,500	16.78	n/a	27-Jul	660.00	4.0
ISLE RIDGE PARTNERS	041	TLB	S	40,500	9.95	n/a	n/a	1,620.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BANK OF AMERICA/MERRILL	259	TRN	B	4,500	16.45	n/a	n/a	180.00	4.0
FEDERATED INV/KAUFMAN	029	TSL	S	30,000	23.70	n/a	n/a	1,650.01	5.5
LISTED ERR	099	TSL	B	30,000	23.70	n/a	n/a	0.00	0.0
LISTED ERR	099	TSL	S	30,000	23.70	n/a	n/a	0.00	0.0
HOPLITE MGMT	025	TXT	C	500,000	17.30	n/a	n/a	20,000.00	4.0
CONIFER/ISF	025	WHR	B	26,400	75.86	n/a	n/a	1,056.00	4.0
FARALLON CAP MGMT	040	WHR	B	127,500	75.54	n/a	n/a	5,100.00	4.0
NOMURA CAPITAL	029	WINN	S	10,085	8.02	n/a	n/a	302.55	3.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	100,000	41.28	n/a	6-Aug	3,000.00	3.0
TOTAL (Trade Date):								111,533.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	JCP	B	300,000	20.91	n/a	13-Aug	12000.00 4.0
AO,CRT	08/19	ADAGE CAPITAL MGMT (ADAGESHORT)	030	JCP	B	300,000	20.91	n/a	13-Aug	9000.00 3.0
AO,	08/23	HIGHFIELDS CAP MGMT (HIGFBSJPMS)	030	WMT	B	100,000	51.10	n/a	17-Aug	5000.00 5.0

TOTAL (AO, CXL, CRT) :	2,000.00
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TOTAL (Trade Date) :	111,533.11
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TOTAL (RUN DATE) / NFS:	113,533.11
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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