

## **Daily Compliance Activity Report** Trade Date: 08/03/2010

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
MTB INV ADV	034	AAWW	S	23,350	49.38	n/a	n/a	1,167.50	5.0
CAXTON PART	040	ABT	В	35,660	50.45	n/a	n/a	1,248.12	3.5
1798 CAP/LOMBARD ASSET	040	AKS	С	63,000	14.99	n/a	n/a	3,150.00	5.0
OHIO PERS	047	ALL	S	58,000	28.60	n/a	n/a	1,740.00	3.0
LEVIN CAPITAL STRATEGIES	012	ALV	В	10,000	57.80	n/a	2-Aug	300.00	3.0
LISTED ERR	099	ALV	В	10,000	57.85	n/a	2-Aug	0.00	0.0
LISTED ERR	099	ALV	S	10,000	57.94	n/a	2-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	В	10,000	38.05	n/a	29-Jul	400.00	4.0
HARBORWATCH/DIAMBACK	232	ARM	S	5,000	16.06	n/a	n/a	250.00	5.0
ST OF MICHIAN	047	ARO	В	130,000	27.20	n/a	29-Jul	3,900.00	3.0
NEUBERGER BERMAN	036	ASTE	S	13,510	31.78	n/a	n/a	540.40	4.0
CAMBIAR CAP	046	BK	В	34,925	25.69	n/a	21-Jul	1,397.00	4.0
1798 CAP/LOMBARD ASSET	040	CLF	S	10,000	59.46	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	CLF	В	10,000	60.35	n/a	n/a	500.00	5.0
MTB INV ADV	034	CLF	В	5,200	59.80	n/a	n/a	260.00	5.0
HIGHFIELDS CAP MGMT	030	CMCSK	S	117,356	18.09	n/a	n/a	4,694.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BALYASNY ASSET MGMT	044	СОН	С	25,000	36.28	n/a	19-Jul	1,250.00	5.0	
BUCK CAPITAL MGMT	001	СОН	В	50,000	37.03	n/a	19-Jul	2,000.00	4.0	
HARBORWATCH/DIAMBACK	232	CSX	В	10,000	54.02	n/a	n/a	500.00	5.0	
TRELLUS PARTNERS LP	028	DAN	S	30,000	12.29	n/a	2-Aug	1,500.00	5.0	
KENNEDY CAPITAL	046	DPZ	В	20,000	12.50	n/a	27-Jul	800.00	4.0	
CROWN CAP MGMT	084	FL	В	30,000	13.77	n/a	29-Jul	1,500.00	5.0	
BMO NESBITT BURNS	041	FRX	В	3,000	28.39	n/a	2-Aug	300.00	10.0	
DSG CAPITAL	225	F	В	10,000	13.17	n/a	2-Aug	500.00	5.0	
SIGMA CAP BOBBY	044	F	В	100,000	12.95	n/a	2-Aug	3,500.00	3.5	
STANDARD PACIFIC CAPITAL	040	F	В	170,000	12.95	n/a	2-Aug	8,500.00	5.0	
LATEFF MGMT	035	GE	В	2,000	16.41	n/a	n/a	240.00	12.0	
LEVEL GLOBAL SHARED ACCT	257	GIL	С	50,000	31.49	n/a	19-Jul	1,500.00	3.0	
PILOT ADV	242	GLW	S	50,100	18.82	n/a	28-Jul	2,004.00	4.0	
ROARING BLUE LION MGMT	012	GYMB	В	1,500	42.49	n/a	29-Jul	60.00	4.0	
EXIS CAPITAL	044	JNY	В	5,000	17.60	n/a	29-Jul	250.00	5.0	
BUCK CAPITAL MGMT	001	JWN	В	10,000	34.00	n/a	29-Jul	400.00	4.0	
NEUBERGER BERMAN	036	LAYN	S	6,900	25.87	n/a	n/a	276.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SANDLER O'NEILL ASSET	031	LAZ	S	50,000	31.55	n/a	28-Jul	2,500.00	5.0
CAVU CAP ADV	028	LEA	S	20,000	81.45	n/a	2-Aug	1,000.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	5,300	79.00	n/a	2-Aug	265.00	5.0
TRELLUS PARTNERS LP	028	LEA	S	17,000	81.07	n/a	2-Aug	850.00	5.0
BUCK CAPITAL MGMT	001	LTD	В	30,000	25.56	n/a	n/a	1,200.00	4.0
THE JAY GOLDMAN	028	MGM	S	20,000	11.41	n/a	2-Aug	800.00	4.0
HIGHBRIDGE CAP	041	MON	В	12,500	58.86	n/a	1-Jul	500.00	4.0
TRUST CO OF THE WEST/NY	040	MXL	В	60,801	11.84	n/a	n/a	2,432.04	4.0
TCKW	040	MXL	В	895	11.84	n/a	n/a	35.80	4.0
EXIS CAPITAL	044	М	В	10,000	18.82	n/a	29-Jul	500.00	5.0
HIGHBRIDGE CAP	041	М	В	50,000	18.87	n/a	29-Jul	2,000.00	4.0
ARMATURE CAPITAL	041	NLC	SS	20,000	24.49	n/a	n/a	800.00	4.0
PARTNER REINSURANCE	033	ODP	В	105,050	4.66	n/a	n/a	3,151.50	3.0
COUGAR TRADING	044	PFCB	В	5,000	42.05	n/a	28-Jul	250.00	5.0
CAVU CAP ADV	028	РН	S	4,600	63.93	n/a	30-Jul	230.00	5.0
1798 CAP/LOMBARD ASSET	040	PKG	S	6,000	24.44	n/a	20-Jul	300.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	В	16,500	24.39	n/a	20-Jul	825.00	5.0
CAXTON PART	040	PM	В	17,830	52.23	n/a	n/a	624.06	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	hr.
BMO NESBITT BURNS	041	PRGO	В	1,000	57.47	n/a	2-Aug	100.00 10	.0
BUCK CAPITAL MGMT	001	PSS	S	75,000	15.63	n/a	n/a	3,000.00 4	. 0
EXIS CAPITAL	044	PVH	В	5,000	52.05	n/a	19-Jul	250.00 5	.0
NEUBERGER BERMAN	036	RBN	S	16,167	23.60	n/a	n/a	646.68 4	. 0
COLUMBIA PARTNERS	028	SBAC	В	44,723	36.15	n/a	n/a	1,788.92 4	. 0
BUCK CAPITAL MGMT	001	SKX	В	10,000	33.70	n/a	n/a	400.00 4	. 0
WEISS PECK	040	SKX	В	9,300	34.17	n/a	n/a	465.00 5	.0
BUCK CAPITAL MGMT	001	SPG	В	10,000	93.12	n/a	n/a	400.00 4	. 0
ASCEND PARTNERS	033	SPR	S	2,400	21.63	n/a	21-Jul	96.00 4	. 0
ROYAL CAPITAL MGMT	070	STRA	В	7,700	229.46	n/a	n/a	385.00 5	.0
PILOT ROCK	028	TIF	SS	39,368	42.18	n/a	n/a	1,574.72 4	. 0
ELM RIDGE ADVISORS	044	TIN	В	195,800	20.05	n/a	27-Jul	7,832.00 4	. 0
1798 CAP/LOMBARD ASSET	040	TKR	S	20,000	34.25	n/a	a n/a	1,000.00	5.0
HOLDEN CAPITAL MGMT	035	TREX	SS	10,000	22.12	n/a	n/a	500.00 5	.0
SENATOR INVESTMENT GROUP	036	UNH	S	70,930	32.13	n/a	n/a	2,127.90 3	.0
BAIRD INVESTMENT	047	WBC	В	7 <b>,</b> 325	38.31	n/a	28-Jul	366.25 5	.0
	BMO NESBITT BURNS  BUCK CAPITAL MGMT  EXIS CAPITAL  NEUBERGER BERMAN  COLUMBIA PARTNERS  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  ASCEND PARTNERS  ROYAL CAPITAL MGMT  PILOT ROCK  ELM RIDGE ADVISORS  1798 CAP/LOMBARD ASSET  HOLDEN CAPITAL MGMT  SENATOR INVESTMENT GROUP	BMO NESBITT BURNS 041  BUCK CAPITAL MGMT 001  EXIS CAPITAL 044  NEUBERGER BERMAN 036  COLUMBIA PARTNERS 028  BUCK CAPITAL MGMT 001  WEISS PECK 040  BUCK CAPITAL MGMT 001  ASCEND PARTNERS 033  ROYAL CAPITAL MGMT 070  PILOT ROCK 028  ELM RIDGE ADVISORS 044  1798 CAP/LOMBARD ASSET 040  HOLDEN CAPITAL MGMT 035  SENATOR INVESTMENT GROUP 036	BMO NESBITT BURNS  BUCK CAPITAL MGMT  EXIS CAPITAL  NEUBERGER BERMAN  COLUMBIA PARTNERS  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  O01  SKX  BUCK CAPITAL MGMT  O01  SPG  ASCEND PARTNERS  033  SPR  ROYAL CAPITAL MGMT  070  STRA  PILOT ROCK  D28  TIF  ELM RIDGE ADVISORS  044  TIN  1798 CAP/LOMBARD ASSET  O40  TKR  HOLDEN CAPITAL MGMT  035  TREX  SENATOR INVESTMENT GROUP  O36  UNH	BMO NESBITT BURNS  BUCK CAPITAL MGMT  EXIS CAPITAL  NEUBERGER BERMAN  COLUMBIA PARTNERS  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  WEISS PECK  BUCK CAPITAL MGMT  O01  SKX  B  BUCK CAPITAL MGMT  O01  SPG  B  ASCEND PARTNERS  033  SPR  S  ROYAL CAPITAL MGMT  070  STRA  B  PILOT ROCK  028  TIF  SS  ELM RIDGE ADVISORS  044  TIN  B  1798 CAP/LOMBARD ASSET  040  TKR  S  SENATOR INVESTMENT GROUP  036  UNH  S  S  S  S  S  S  S  S  S  S  S  S  S	BMO NESBITT BURNS 041 PRGO B 1,000  BUCK CAPITAL MGMT 001 PSS S 75,000  EXIS CAPITAL 044 PVH B 5,000  NEUBERGER BERMAN 036 RBN S 16,167  COLUMBIA PARTNERS 028 SBAC B 44,723  BUCK CAPITAL MGMT 001 SKX B 10,000  WEISS PECK 040 SKX B 9,300  BUCK CAPITAL MGMT 001 SPG B 10,000  ASCEND PARTNERS 033 SPR S 2,400  ROYAL CAPITAL MGMT 070 STRA B 7,700  PILOT ROCK 028 TIF SS 39,368  ELM RIDGE ADVISORS 044 TIN B 195,800  1798 CAP/LOMBARD ASSET 040 TKR S 20,000  HOLDEN CAPITAL MGMT 035 TREX SS 10,000  SENATOR INVESTMENT GROUP 036 UNH S 70,930	BMO NESBITT BURNS 041 PRGO B 1,000 57.47  BUCK CAPITAL MGMT 001 PSS S 75,000 15.63  EXIS CAPITAL 044 PVH B 5,000 52.05  NEUBERGER BERMAN 036 RBN S 16,167 23.60  COLUMBIA PARTNERS 028 SBAC B 44,723 36.15  BUCK CAPITAL MGMT 001 SKX B 10,000 33.70  WEISS PECK 040 SKX B 9,300 34.17  BUCK CAPITAL MGMT 001 SPG B 10,000 93.12  ASCEND PARTNERS 033 SPR S 2,400 21.63  ROYAL CAPITAL MGMT 070 STRA B 7,700 229.46  PILOT ROCK 028 TIF SS 39,368 42.18  ELM RIDGE ADVISORS 044 TIN B 195,800 20.05  1798 CAP/LOMBARD ASSET 040 TKR S 20,000 34.25  HOLDEN CAPITAL MGMT 035 TREX SS 10,000 22.12  SENATOR INVESTMENT GROUP 036 UNH S 70,930 32.13	BMO NESBITT BURNS 041 PRGO B 1,000 57.47 n/a  BUCK CAPITAL MGMT 001 PSS S 75,000 15.63 n/a  EXIS CAPITAL 044 PVH B 5,000 52.05 n/a  NEUBERGER BERMAN 036 RBN S 16,167 23.60 n/a  COLUMBIA PARTNERS 028 SBAC B 44,723 36.15 n/a  BUCK CAPITAL MGMT 001 SKX B 10,000 33.70 n/a  WEISS PECK 040 SKX B 9,300 34.17 n/a  BUCK CAPITAL MGMT 001 SPG B 10,000 93.12 n/a  ASCEND PARTNERS 033 SPR S 2,400 21.63 n/a  ROYAL CAPITAL MGMT 070 STRA B 7,700 229.46 n/a  ELM RIDGE ADVISORS 044 TIN B 195,800 20.05 n/a  1798 CAP/LOMBARD ASSET 040 TKR S 20,000 34.25 n/a  SENATOR INVESTMENT GROUP 036 UNH S 70,930 32.13 n/a	BUCK CAPITAL MGMT 001 PSS S 75,000 15.63 n/a 19-Jul  NEUBERGER BERMAN 036 RBN S 16,167 23.60 n/a 19-Jul  COLUMBIA PARTNERS 028 SBAC B 44,723 36.15 n/a n/a  BUCK CAPITAL MGMT 001 SKX B 10,000 33.70 n/a n/a  MEISS PECK 040 SKX B 9,300 34.17 n/a n/a  BUCK CAPITAL MGMT 001 SKX B 10,000 93.12 n/a n/a  BUCK CAPITAL MGMT 001 SFG B 10,000 93.12 n/a n/a  ASCEND PARTNERS 033 SPR S 2,400 21.63 n/a 21-Jul  ROYAL CAPITAL MGMT 070 STRA B 7,700 229.46 n/a n/a  PILOT ROCK 028 TIF SS 39,368 42.18 n/a n/a  PILOT ROCK 028 TIF SS 39,368 42.18 n/a n/a  HOLDEN CAPITAL MGMT 035 TREX SS 10,000 22.12 n/a n/a  BUCK CAPITAL MGMT 035 TREX SS 10,000 22.12 n/a n/a	BUCK CAPITAL MGMT 001 PSS S 75,000 15.63

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CAERUS GLOBAL	041	WFMI	В	55,000	39.19	n/a	n/a	2,200.00 4.0
EXIS CAPITAL	044	WRC	В	5,000	41.70	n/a	19-Jul	250.00 5.0
GALT INVESTMENT	041	ZUMZ	В	10,000	18.18	n/a	n/a	500.00 5.0

TOTAL (Trade Date): 87,273.13

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	08/02	SAC CAPITAL/M GRONET (SACJMSCO)	030	DE	SS	25,000	67.13	n/a	20-May	875.00	3.5
AO,CXL	08/02	SAC CAPITAL/M GRONET (SACJCSPB)	030	DE	SS	25,000	67.13	n/a	20-May	875.00	3.5
AO,CRT	08/02	SAC CAPITAL/M GRONET (SACJCSPB)	030	PVH	В	7,500	53.16	n/a	19-Jul	262.50	3.5
AO,CXL	08/02	SAC CAPITAL/M GRONET (SACJGSMG)	030	PVH	В	7,500	53.16	n/a	19-Jul	262.50	3.5
AO,CXL	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	ROST	SS	100,000	52.21	n/a	n/a	30.00	0.0
AO,	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	ROST	SS	100,000	52.21	n/a	n/a	3500.00	3.5
AO,CXL	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	URBN	SS	50,000	32.04	n/a	n/a	15.00	0.0
AO,	07/30	SAC CHICAGO ANDREW (SCASJPMPB)	031	URBN	SS	50,000	32.04	n/a	n/a	1750.00	3.5

TOTAL (RUN DATE) / NFS:	92,478.13
TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	87,273.13 5,205.00

## 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