



Daily Compliance Activity Report

Trade Date: 08/25/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	ACM	C	65,100	22.36	n/a	n/a	3,255.00	5.0
EXIS CAPITAL	044	AEO	B	5,000	13.02	n/a	6-Aug	250.00	5.0
EXIS CAPITAL	044	AEO	S	27,000	13.57	n/a	6-Aug	1,350.00	5.0
BRIGADE CAPITAL MGMT	029	AMD	SS	150,000	6.02	n/a	n/a	4,500.00	3.0
BENNETT LAWRENCE	028	AMED	C	4,700	24.28	n/a	n/a	188.00	4.0
CR INTRINIC INVESTMENT	044	AMLN	SS	25,000	19.86	n/a	n/a	875.00	3.5
EXIS CAPITAL	044	ANF	SS	5,000	34.11	n/a	18-Aug	250.00	5.0
BALYASNY ASSET MGMT	044	ANN	SS	20,000	15.36	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	15.41	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	ARO	SS	15,000	22.64	n/a	20-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	B	50,000	22.62	n/a	20-Aug	1,750.00	3.5
HUNTER GLOBAL INVESTOR	067	BWA	SS	117,000	42.61	n/a	2-Aug	5,850.00	5.0
COOPER CREEK PART	028	BWS	B	25,000	11.04	n/a	n/a	1,000.00	4.0
OZ MGMT	040	CAT	C	47,085	64.13	n/a	23-Jul	1,412.55	3.0
BENNETT LAWRENCE	028	CLH	S	1,750	60.43	n/a	n/a	70.00	4.0
CASTLE ARK	031	COH	B	143,530	37.49	n/a	4-Aug	7,176.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	COH	B	25,000	37.38	n/a	4-Aug	1,250.00	5.0
SAXON WOODS ADVISORS	242	CVA	S	25,700	14.43	n/a	n/a	1,028.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	20,800	8.85	n/a	n/a	1,040.00	5.0
HOPLITE MGMT	025	DD	C	32,717	39.46	n/a	24-Aug	1,635.85	5.0
LEVIN CAPITAL STRATEGIES	012	DG	C	15,000	27.77	n/a	8-Jun	450.00	3.0
ARMATURE CAPITAL	041	DOV	S	25,000	44.13	n/a	n/a	1,000.00	4.0
SOUTH POINT CAP	067	FAS	SS	30,000	17.40	n/a	n/a	1,500.00	5.0
SOUTH POINT CAP	067	FISV	S	92,000	50.22	n/a	n/a	4,600.00	5.0
BUCK CAPITAL MGMT	001	FL	B	100,000	11.89	n/a	20-Aug	4,000.00	4.0
TALKOT CAPITAL LLC	084	FL	B	10,000	11.75	n/a	20-Aug	300.00	3.0
THIRD COAST CAPITAL	035	FL	S	35,000	11.67	n/a	20-Aug	1,750.00	5.0
PECONIC PARTNERS	036	F	S	722,200	11.05	n/a	4-Aug	36,110.00	5.0
SIGMA CAP BOBBY	044	F	B	50,000	11.38	n/a	4-Aug	1,750.00	3.5
THE JAY GOLDMAN	028	GET	S	5,000	26.00	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	GPS	B	5,000	16.83	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GYMB	SS	5,000	39.10	n/a	18-Aug	250.00	5.0
CATAPULT	040	IP	SS	4,000	20.33	n/a	28-Jul	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	IP	S	6,000	20.33	n/a	28-Jul	300.00	5.0
LAGRANGE CAP ADV	048	JNS	B	3,000	9.40	n/a	n/a	150.00	5.0
EXIS CAPITAL	044	JWN	SS	5,000	30.02	n/a	13-Aug	250.00	5.0
M&I FUNDS	047	KO	B	7,637	55.40	n/a	22-Jul	305.48	4.0
HUNTER GLOBAL INVESTOR	067	LEA	SS	68,000	73.54	n/a	4-Aug	3,400.00	5.0
HOLLIS CAPITAL	033	LHO	B	4,000	20.52	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	LL	B	10,000	19.77	n/a	n/a	400.00	4.0
T. ROWE PRICE	033	LPX	B	194,653	6.48	n/a	5-Aug	3,893.06	2.0
BROADARCH CAP/OLD NEWC	070	LVS	S	7,000	28.38	n/a	12-Aug	280.00	4.0
MACKLOWE ASSET MGMT	041	MAR	B	45,000	31.83	n/a	n/a	1,800.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	B	15,300	9.15	n/a	12-Aug	612.00	4.0
BUCK CAPITAL MGMT	001	MW	B	20,000	18.71	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	M	S	20,000	19.30	n/a	12-Aug	800.00	4.0
EXIS CAPITAL	044	M	B	5,000	19.83	n/a	12-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	1.95	n/a	n/a	400.00	2.0
COHE & STEERS	041	PCL	S	17,439	33.42	n/a	27-Jul	697.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	PVH	B	5,000	46.27	n/a	19-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	46.77	n/a	19-Jul	1,600.00	4.0
EXIS CAPITAL	044	PVH	B	15,000	46.38	n/a	19-Jul	750.00	5.0
SONTERRA CAP	041	PXP	SS	80,000	22.32	n/a	n/a	3,200.00	4.0
TRAFELET & COMP.	028	QQQQ	C	250,000	43.77	n/a	n/a	7,500.00	3.0
EXIS CAPITAL	044	RL	B	6,100	79.80	n/a	5-Aug	305.00	5.0
COHE & STEERS	041	RYN	S	41,948	46.53	n/a	9-Aug	1,677.92	4.0
WEISS PECK	040	SKX	B	76,790	26.91	n/a	n/a	3,839.50	5.0
SOUTH POINT CAP	067	SPY	B	25,000	104.95	n/a	n/a	1,250.00	5.0
BANK OF AMERICA/MERRILL	259	SSCC	B	25,000	17.26	n/a	3-Aug	0.00	0.0
CASTLEROCK	040	SSCC	S	192,346	17.12	n/a	3-Aug	7,693.84	4.0
CATAPULT	040	SSCC	B	24,000	17.16	n/a	3-Aug	1,200.00	5.0
ELM RIDGE ADVISORS	044	SSCC	B	215,000	17.14	n/a	3-Aug	8,600.00	4.0
M&I FUNDS	047	TAP	B	9,346	44.59	n/a	n/a	373.84	4.0
CATAPULT	040	TIN	S	12,000	16.60	n/a	27-Jul	600.00	5.0
EXIS CAPITAL	044	TRLG	SS	16,000	19.64	n/a	n/a	800.00	5.0
HOPLITE MGMT	025	TYC	S	290,000	38.27	n/a	18-Aug	14,500.00	5.0
EXIS CAPITAL	044	VFC	SS	7,500	73.67	n/a	23-Jul	375.00	5.0

TOTAL (Trade Date):

156,794.10

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/24	BALYASNY ASSET MGMT (BALYGS)	044	ALV	SS	1,482	52.57	n/a	2-Aug	74.10 5.0
AO,	08/24	BALYASNY ASSET MGMT (BALYGS)	044	ALV	SS	13,518	52.57	n/a	2-Aug	675.90 5.0
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1230)	031	AMP	B	200	42.24	n/a	n/a	7.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1230)	031	AMP	B	2,300	42.24	n/a	n/a	80.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1229)	031	AMP	B	1,300	42.24	n/a	n/a	45.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1214)	031	AMP	B	7,700	42.24	n/a	n/a	269.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1209)	031	AMP	B	1,600	42.24	n/a	n/a	56.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1207)	031	AMP	B	200	42.24	n/a	n/a	7.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1206)	031	AMP	B	100	42.24	n/a	n/a	3.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1223)	031	AMP	B	2,800	42.24	n/a	n/a	98.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1218)	031	AMP	B	900	42.24	n/a	n/a	31.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1505)	031	AMP	B	81,000	42.24	n/a	n/a	2835.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1225)	031	AMP	B	900	42.24	n/a	n/a	31.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1210)	031	AMP	B	4,400	42.24	n/a	n/a	154.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1240)	031	AMP	B	400	42.24	n/a	n/a	14.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1239)	031	AMP	B	1,900	42.24	n/a	n/a	66.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1227)	031	AMP	B	100	42.24	n/a	n/a	3.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1226)	031	AMP	B	100	42.24	n/a	n/a	3.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1219)	031	AMP	B	400	42.24	n/a	n/a	14.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1235)	031	AMP	B	1,200	42.24	n/a	n/a	42.00 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1233)	031	AMP	B	2,700	42.24	n/a	n/a	94.50 3.5
AO,	08/24	BARROW HANLEY MEWHINNEY (BARR1231)	031	AMP	B	1,700	42.24	n/a	n/a	59.50 3.5
AO,	08/24	T. ROWE PRICE (TROW7BAS)	033	LPX	B	200	6.64	n/a	5-Aug	4.00 2.0
AO,	08/24	T. ROWE PRICE (TROW7BAP)	033	LPX	B	3,600	6.64	n/a	5-Aug	72.00 2.0
AO,	08/24	T. ROWE PRICE (TROW4360)	033	LPX	B	1,600	6.64	n/a	5-Aug	32.00 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/24	T. ROWE PRICE (TROW4431)	033	LPX	B	900	6.64	n/a	5-Aug	18.00 2.0
AO,	08/24	T. ROWE PRICE (TROW3492)	033	LPX	B	24,600	6.64	n/a	5-Aug	492.00 2.0
AO,	08/24	T. ROWE PRICE (TROW2363)	033	LPX	B	14,100	6.64	n/a	5-Aug	282.00 2.0
AO,	08/24	T. ROWE PRICE (TROW4363)	033	LPX	B	700	6.64	n/a	5-Aug	14.00 2.0
AO,	08/24	T. ROWE PRICE (TROW7002)	033	LPX	B	158,000	6.64	n/a	5-Aug	3160.00 2.0
AO,	08/24	T. ROWE PRICE (TROW5127)	033	LPX	B	1,400	6.64	n/a	5-Aug	28.00 2.0
AO,	08/24	T. ROWE PRICE (TROW5047)	033	LPX	B	9,600	6.64	n/a	5-Aug	192.00 2.0
AO,	08/24	T. ROWE PRICE (TROW4785)	033	LPX	B	6,000	6.64	n/a	5-Aug	120.00 2.0
AO,	08/24	T. ROWE PRICE (TROW4744)	033	LPX	B	800	6.64	n/a	5-Aug	16.00 2.0
AO,	08/24	T. ROWE PRICE (TROW5026)	033	LPX	B	1,900	6.64	n/a	5-Aug	38.00 2.0
AO,CXL	08/24	CONIFER/ISF (CONIISFRIP)	025	WHR	B	26,400	75.86	n/a	n/a	1056.00 4.0
AO,CRT	08/24	NEUSTRADA CAP LLC (NEUSJMPMB)	085	WHR	B	26,400	75.86	n/a	n/a	792.00 3.0
AO,	08/24	BALYASNY ASSET MGMT (BALY)	044	WY	C	1,000	15.52	n/a	5-Aug	50.00 5.0
AO,	08/24	BALYASNY ASSET MGMT (BALY)	044	WY	C	9,000	15.52	n/a	5-Aug	450.00 5.0
TOTAL (AO, CXL, CRT) :										9,370.50

TOTAL (Trade Date) :	156,794.10
TOTAL (AO, CXL, CRT) :	9,370.50

TOTAL (RUN DATE) / NFS :	166,164.60
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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