

## **Daily Compliance Activity Report** Trade Date: 09/07/2010

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

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BUCK CAPITAL MGMT	001	AEO	В	30,000	13.41	n/a	2-Sep	1,200.00	4.0
	PZENA INV ADV	044	AVT	В	75 <b>,</b> 833	24.30	n/a	n/a	2,654.27	3.5
õ	Alice Longley		AXP	s	25 4	11.7100	n/a	1-Sep	0.00	0.0
	CATAPULT	040	CE	В	15,000	28.13	n/a	n/a	750.00	5.0
	NEUBERGER BERMAN	036	CRK	S	40,000	21.22	n/a	n/a	1,600.00	4.0
	BIXBY LLC	070	DAN	В	10,000	10.86	n/a	2-Aug	400.00	4.0
	COLONIAL FUND LLC	036	DAN	В	25,000	11.02	n/a	2-Aug	750.00	3.0
	CATAPULT	040	FDO	SS	4,600	42.40	n/a	2-Sep	230.00	5.0
	JP MORGAN VENTURES	046	FL	В	15,000	12.97	n/a	20-Aug	750.00	5.0
	SAC CHICAGO ANDREW	031	FL	В	15,000	12.93	n/a	20-Aug	525.00	3.5
	TALKOT CAPITAL LLC	084	FL	S	25,000	12.96	n/a	20-Aug	1,000.00	4.0
	NEUBERGER BERMAN	036	GGP	S	1,200	14.80	n/a	n/a	48.00	4.0
	NEUBERGER BERMAN	036	GTLS	S	15,000	16.59	n/a	n/a	600.00	4.0
	MERRILL ASSET/BLACKROCK	266	HMN	В	55,500	17.62	n/a	n/a	2,220.00	4.0
	THE JAY GOLDMAN	028	HTZ	S	60,000	9.56	n/a	n/a	2,400.00	4.0
	RBC CAPITAL MARKETS	040	IP	В	25,000	21.95	n/a	26-Aug	1,000.00	4.0

RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
028	JCG	В	10,000	34.22	n/a	n/a	500.00	5.0
241	М	S	500,000	20.62	n/a	2-Sep	25,000.00	5.0
040	ORCL	S	205,000	24.58	n/a	n/a	6,150.00	3.0
046	PVH	S	10,000	50.68	n/a	19-Jul	500.00	5.0
040	RF	В	106,867	6.66	n/a	n/a	3,740.35	3.5
044	ROST	В	20,000	51.65	n/a	n/a	1,000.00	5.0
035	SKX	В	43,550	26.56	n/a	n/a	1,306.50	3.0
040	SONC	В	25 <b>,</b> 000	7.85	n/a	n/a	1,250.00	5.0
084	SSCC	В	5,000	17.79	n/a	26-Aug	200.00	4.0
040	SWC	S	10,000	14.83	n/a	n/a	500.00	5.0
031	TGT	В	20,000	52.83	n/a	2-Sep	700.00	3.5
031	TJX	В	10,000	41.24	n/a	2-Sep	350.00	3.5
041	TLB	SS	34,834	11.04	n/a	n/a	1,393.36	4.0
041	TLB	S	5,166	11.05	n/a	n/a	206.64	4.0
031	WMT	В	50,000	52.25	n/a	7-Sep	2,500.00	5.0
031	WMT	S	10,000	52.20	n/a	7-Sep	350.00	3.5
	028 241 040 046 040 044 035 040 084 040 031 031 041 041	028 JCG  241 M  040 ORCL  046 PVH  040 RF  044 ROST  035 SKX  040 SONC  084 SSCC  040 SWC  031 TGT  031 TJX  041 TLB  041 TLB  041 TLB	O28       JCG       B         241       M       S         040       ORCL       S         046       PVH       S         040       RF       B         044       ROST       B         040       SONC       B         040       SSCC       B         041       TGT       B         041       TLB       SS         041       TLB       SS         041       TLB       SS         031       WMT       B	028       JCG       B       10,000         241       M       S       500,000         040       ORCL       S       205,000         046       PVH       S       10,000         040       RF       B       106,867         044       ROST       B       20,000         035       SKX       B       43,550         040       SONC       B       25,000         084       SSCC       B       5,000         031       TGT       B       20,000         031       TJX       B       10,000         041       TLB       SS       34,834         041       TLB       S       5,166         031       WMT       B       50,000	028       JCG       B       10,000       34.22         241       M       S       500,000       20.62         040       ORCL       S       205,000       24.58         046       PVH       S       10,000       50.68         040       RF       B       106,867       6.66         044       ROST       B       20,000       51.65         035       SKX       B       43,550       26.56         040       SONC       B       25,000       7.85         084       SSCC       B       5,000       17.79         040       SWC       S       10,000       14.83         031       TGT       B       20,000       52.83         031       TJX       B       10,000       41.24         041       TLB       SS       34,834       11.04         041       TLB       S       5,166       11.05         031       WMT       B       50,000       52.25	028         JCG         B         10,000         34.22         n/a           241         M         S         500,000         20.62         n/a           040         ORCL         S         205,000         24.58         n/a           046         PVH         S         10,000         50.68         n/a           040         RF         B         106,867         6.66         n/a           044         ROST         B         20,000         51.65         n/a           035         SKX         B         43,550         26.56         n/a           040         SONC         B         25,000         7.85         n/a           084         SSCC         B         5,000         17.79         n/a           031         TGT         B         20,000         52.83         n/a           031         TJX         B         10,000         41.24         n/a           041         TLB         S         34,834         11.04         n/a           041         TLB         S         5,166         11.05         n/a           031         WMT         B         50,000         52.25	O28         JCG         B         10,000         34.22         n/a         n/a           241         M         S         500,000         20.62         n/a         2-Sep           040         ORCL         S         205,000         24.58         n/a         n/a           046         PVH         S         10,000         50.68         n/a         19-Jul           040         RF         B         106,867         6.66         n/a         n/a           044         ROST         B         20,000         51.65         n/a         n/a           035         SKX         B         43,550         26.56         n/a         n/a           040         SONC         B         25,000         7.85         n/a         n/a           084         SSCC         B         5,000         17.79         n/a         26-Aug           031         TGT         B         20,000         52.83         n/a         2-Sep           031         TJX         B         10,000         41.24         n/a         2-Sep           041         TLB         S         34,834         11.04         n/a         n/a         n	028         JCG         B         10,000         34.22         n/a         n/a         500.00           241         M         S         500,000         20.62         n/a         2-sep         25,000.00           040         ORCL         S         205,000         24.58         n/a         n/a         6,150.00           046         PVH         S         10,000         50.68         n/a         19-Jul         500.00           040         RF         B         106,867         6.66         n/a         n/a         3,740.35           044         ROST         B         20,000         51.65         n/a         n/a         1,306.50           040         SKX         B         43,550         26.56         n/a         n/a         1,250.00           040         SONC         B         25,000         7.85         n/a         n/a         1,250.00           084         SSCC         B         5,000         17.79         n/a         26-Aug         200.00           031         TGT         B         20,000         52.83         n/a         2-Sep         700.00           041         TLB         SS         34,834<

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
RBC CAPITAL MARKETS	040	X	S	10,000	48.33	n/a	n/a	400.00 4.0
KLEINHEINZ CAP PART	031	YUM	В	75,000	44.36	n/a	14-Jul	3,750.00 5.0

TOTAL (Trade Date): 65,924.12

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
AO,CRT	09/03	FORWARD MGMT (FORWBNP)	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00	4.0
AO,CXL	09/03	FORWARD MGMT (FORWLGCAPE)	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00	4.0
CRT	09/07	THE JAY GOLDMAN (GOLDGSBULK)	028	HTZ	S	60,000	9.56	n/a	n/a	2400.00	4.0
AO,CXL	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	SS	10,000	24.06	n/a	26-Aug	500.00	5.0
ΑΟ,	09/03	TRELLUS PARTNERS LP (TRELMAIN)	028	PKG	SS	10,000	24.06	n/a	26-Aug	300.00	3.0

TOTAL (AO, CXL, CRT):	2,200.00
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TOTAL (RUN DATE) / NFS:	68,124.12
TOTAL (AO, CXL, CRT):	2,200.00
TOTAL (Trade Date):	65,924.12

## Legend:

O: 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