

## **Daily Compliance Activity Report** Trade Date: 08/26/2010

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
BUCK CAPITAL MGMT	001	AEO	В	30,000	13.41	n/a	26-Aug	1,200.00	4.0
EXIS CAPITAL	044	AEO	В	5,000	13.20	n/a	26-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	В	2,000	15.64	n/a	n/a	80.00	4.0
CASTLEROCK	040	AUO	SS	125,755	8.64	n/a	n/a	5,030.20	4.0
1798 CAP/LOMBARD ASSET	040	AVY	SS	3,000	32.61	n/a	23-Aug	150.00	5.0
BASIX	033	CCMP	В	13,800	30.62	n/a	30-Jul	414.00	3.0
WEDBUSH/PACIFIC GROWTH EQ	QTY LLCO	84 CIT		S 4,	700 37.03		n/a 25-Au	g 235	5.00 5.0
1798 CAP/LOMBARD ASSET	040	CLF	SS	17,500	57.95	n/a	n/a	875.00	5.0
AELTUS/ING IVESTMENT MGT	215	COP	В	15,000	52.52	n/a	n/a	525.00	3.5
SAXON WOODS ADVISORS	242	CVA	S	24,300	14.56	n/a	n/a	972.00	4.0
OZ MGMT	040	DAN	В	75,000	10.78	n/a	2-Aug	2,250.00	3.0
BUCK CAPITAL MGMT	001	DKS	SS	60,000	25.12	n/a	19-Aug	2,400.00	4.0
BALYASNY ASSET MGMT	044	DRI	В	25,000	41.32	n/a	8-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	DRI	SS	30,000	41.55	n/a	8-Jul	1,200.00	4.0
PLATTE RIVER CAPITAL	240	FE	S	14,000	35.76	n/a	n/a	560.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
EXIS CAPITAL	044	FINL	В	25 <b>,</b> 000	13.37	n/a	n/a	1,250.00	5.0
SOUTH POINT CAP	067	FISV	S	105,230	50.43	n/a	n/a	5,261.50	5.0
KENNEDY CAPITAL	046	FL	В	20,000	12.00	n/a	20-Aug	800.00	4.0
EXIS CAPITAL	044	GES	SS	10,000	34.10	n/a	26-Aug	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GIL	С	100,000	27.80	n/a	13-Aug	3,000.00	3.0
1798 CAP/LOMBARD ASSET	040	GVA	SS	8,500	21.94	n/a	n/a	425.00	5.0
AELTUS/ING IVESTMENT MGT	215	НК	В	65,000	14.82	n/a	n/a	2,275.00	3.5
BUCK CAPITAL MGMT	001	JCG	s	132,130	33.55	n/a	n/a	5,285.20	4.0
BUCK CAPITAL MGMT	001	JWN	В	10,000	30.74	n/a	13-Aug	400.00	4.0
EXIS CAPITAL	044	JWN	В	5,000	30.25	n/a	13-Aug	250.00	5.0
1798 CAP/LOMBARD ASSET	040	MCP	В	15,000	14.93	n/a	n/a	750.00	5.0
BENNETT LAWRENCE	028	MHK	SS	1,000	44.67	n/a	n/a	40.00	4.0
EXIS CAPITAL	044	M	В	15,000	19.37	n/a	12-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	М	SS	50,000	19.69	n/a	12-Aug	1,750.00	3.5
CASTLEROCK	040	NAV	SS	62 <b>,</b> 719	42.92	n/a	n/a	2,508.76	4.0
SUFFOLK CAPITAL MGMT	040	NKE	В	100,000	71.04	n/a	n/a	4,000.00	4.0
	EXIS CAPITAL  SOUTH POINT CAP  KENNEDY CAPITAL  EXIS CAPITAL  LEVEL GLOBAL SHARED ACCT  1798 CAP/LOMBARD ASSET  AELTUS/ING IVESTMENT MGT  BUCK CAPITAL MGMT  EXIS CAPITAL  1798 CAP/LOMBARD ASSET  BENNETT LAWRENCE  EXIS CAPITAL  SIGMA CAPITAL ASSOCIATES  CASTLEROCK	EXIS CAPITAL 044  SOUTH POINT CAP 067  KENNEDY CAPITAL 046  EXIS CAPITAL 044  LEVEL GLOBAL SHARED ACCT 257  1798 CAP/LOMBARD ASSET 040  AELTUS/ING IVESTMENT MGT 215  BUCK CAPITAL MGMT 001  EXIS CAPITAL MGMT 001  EXIS CAPITAL 044  1798 CAP/LOMBARD ASSET 040  BENNETT LAWRENCE 028  EXIS CAPITAL 044  SIGMA CAPITAL ASSOCIATES 041  CASTLEROCK 040	EXIS CAPITAL 044 FINL  SOUTH POINT CAP 067 FISV  KENNEDY CAPITAL 046 FL  EXIS CAPITAL 044 GES  LEVEL GLOBAL SHARED ACCT 257 GIL  1798 CAP/LOMBARD ASSET 040 GVA  AELTUS/ING IVESTMENT MGT 215 HK  BUCK CAPITAL MGMT 001 JCG  BUCK CAPITAL MGMT 001 JWN  EXIS CAPITAL 044 JWN  1798 CAP/LOMBARD ASSET 040 MCP  BENNETT LAWRENCE 028 MHK  EXIS CAPITAL 044 M  SIGMA CAPITAL ASSOCIATES 041 M  CASTLEROCK 040 NAV	EXIS CAPITAL  SOUTH POINT CAP  KENNEDY CAPITAL  O46  FL  B  EXIS CAPITAL  O46  FL  B  EXIS CAPITAL  O44  GES  SS  LEVEL GLOBAL SHARED ACCT  1798 CAP/LOMBARD ASSET  AELTUS/ING IVESTMENT MGT  BUCK CAPITAL MGMT  EXIS CAPITAL  O41  O44  D44  D44  D44  D44  D44  D44	EXIS CAPITAL 044 FINL B 25,000  SOUTH POINT CAP 067 FISV S 105,230  KENNEDY CAPITAL 046 FL B 20,000  EXIS CAPITAL 044 GES SS 10,000  LEVEL GLOBAL SHARED ACCT 257 GIL C 100,000  1798 CAP/LOMBARD ASSET 040 GVA SS 8,500  AELTUS/ING IVESTMENT MGT 215 HK B 65,000  BUCK CAPITAL MGMT 001 JCG S 132,130  BUCK CAPITAL MGMT 001 JWN B 10,000  EXIS CAPITAL 044 JWN B 5,000  EXIS CAPITAL 044 M B 15,000  EXIS CAPITAL 044 M B 15,000  EXIS CAPITAL 044 M B 15,000  CASTLEROCK 040 NAV SS 62,719	EXIS CAPITAL 044 FINL B 25,000 13.37  SOUTH POINT CAP 067 FISV S 105,230 50.43  KENNEDY CAPITAL 046 FL B 20,000 12.00  EXIS CAPITAL 044 GES SS 10,000 34.10  LEVEL GLOBAL SHARED ACCT 257 GIL C 100,000 27.80  1798 CAP/LOMBARD ASSET 040 GVA SS 8,500 21.94  AELTUS/ING IVESTMENT MGT 215 HK B 65,000 14.82  BUCK CAPITAL MGMT 001 JCG S 132,130 33.55  BUCK CAPITAL MGMT 044 JWN B 5,000 30.25  1798 CAP/LOMBARD ASSET 040 MCP B 15,000 14.93  BENNETT LAWRENCE 028 MHK SS 1,000 44.67  EXIS CAPITAL MGMC 044 M B 15,000 19.37  SIGMA CAPITAL ASSOCIATES 041 M SS 50,000 19.69  CASTLEROCK 040 NAV SS 62,719 42.92	EXIS CAPITAL 044 FINL B 25,000 13.37 n/a  SOUTH POINT CAP 067 FISV S 105,230 50.43 n/a  KENNEDY CAPITAL 046 FL B 20,000 12.00 n/a  EXIS CAPITAL 044 GES SS 10,000 34.10 n/a  LEVEL GLOBAL SHARED ACCT 257 GIL C 100,000 27.80 n/a  1798 CAP/LOMBARD ASSET 040 GVA SS 8,500 21.94 n/a  AELTUS/ING IVESTMENT MGT 215 HK B 65,000 14.82 n/a  BUCK CAPITAL MGMT 001 JCG S 132,130 33.55 n/a  BUCK CAPITAL MGMT 001 JWN B 10,000 30.74 n/a  EXIS CAPITAL MGMT 044 JWN B 5,000 30.25 n/a  1798 CAP/LOMBARD ASSET 040 MCP B 15,000 14.93 n/a  EXIS CAPITAL MGMT 044 M B 15,000 14.93 n/a  EXIS CAPITAL MGMT 044 M B 15,000 19.37 n/a  SIGMA CAPITAL ASSOCIATES 041 M SS 50,000 19.69 n/a  CASTLEROCK 040 NAV SS 62,719 42.92 n/a	EXIS CAPITAL 044 FINL B 25,000 13.37	EXIS CAPITAL 044 FINL B 25,000 13.37

Account	RR #	Symbol	B/S	Shares Price	MRI Research	Comm.¢/Shr.
SANDLER CAPITAL	226	POOL	С	80,000 18.81	n/a n/a	4,000.00 5.0
EXIS CAPITAL	044	PVH	В	10,000 46.64	n/a 19-Jul	500.00 5.0
GCORE MANAGEMENT	041	QQQQ	В	25,000 43.86	n/a n/a	1,250.00 5.0
EXIS CAPITAL	044	RL	В	5,000 80.95	n/a 5-Aug	250.00 5.0
TROUBH PART	067	RRR	В	25,000 6.29	n/a 23-Jul	1,250.00 5.0
1798 CAP/LOMBARD ASSE	Т 040	SHAW	В	6,300 32.01	n/a n/a	315.00 5.0
WEISS PECK	040	SKX	В	64,420 27.43	n/a n/a	3,221.00 5.0
CATAPULT	040	SSCC	В	16,000 16.72	n/a 26-Aug	800.00 5.0
1798 CAP/LOMBARD ASSE	Т 040	SWC	В	18,000 13.71	n/a n/a	900.00 5.0
SAC CHICAGO ANDREW	031	SYY	В	30,000 27.97	n/a n/a	1,050.00 3.5
CRAMER ROSENTHAL/SCOT	Т 012	TAP	S	82,200 44.29	n/a n/a	3,288.00 4.0
EXIS CAPITAL	044	TGT	В	7,500 51.98	n/a 18-Aug	375.00 5.0
1798 CAP/LOMBARD ASSE	Т 040	TKR	В	14,000 33.13	n/a n/a	700.00 5.0
HOOVER INV. MGMT	033	TLB	В	10,400 10.44	n/a n/a	416.00 4.0
JMP ASSET MGMT	210	TWI	В	20,000 10.05	n/a n/a	1,000.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI Rese	arch	Comm.¢/Shr.
1798 CAP/LOMBARD ASSET	040	WAB	SS	9,400	42.49	n/a	n/a	470.00 5.0
OTAL (Trade Date):							66,	, 421 . 66

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTGBL)	215	BHI	S	48,300	38.42	n/a	n/a	1690.50	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTPMF)	215	BHI	S	6,000	38.42	n/a	n/a	210.00	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTIRRGBL)	215	BHI	S	5,700	38.42	n/a	n/a	199.50	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTGBL)	215	НК	В	20,100	14.64	n/a	n/a	703.50	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTPMF)	215	HK	В	2,500	14.64	n/a	n/a	87.50	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTIRRGBL)	215	HK	В	2,400	14.64	n/a	n/a	84.00	3.5
AO,CXL	08/25	M&I FUNDS (MIFD123)	047	KO	В	7,360	55.40	n/a	22-Jul	294.40	4.0
AO, CRT	08/25	M&I FUNDS (MIFD123)	047	KO	В	7,420	55.40	n/a	22-Jul	296.80	4.0
AO,CXL	08/25	M&I FUNDS (MIFDMAIN)	047	KO	В	277	55.40	n/a	22-Jul	11.08	4.0
AO, CRT	08/25	M&I FUNDS (MIFDMAIN)	047	KO	В	217	55.40	n/a	22-Jul	8.68	4.0
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTGBL)	215	SLB	В	16,200	54.21	n/a	n/a	567.00	3.5
AO,	08/25	AELTUS/ING IVESTMENT MGT (AELTPMF)	215	SLB	В	1,900	54.21	n/a	n/a	66.50	3.5
ΑΟ,	08/25	AELTUS/ING IVESTMENT MGT (AELTIRRGBL)	215	SLB	В	1,900	54.21	n/a	n/a	66.50	3.5
AO,CXL	08/25	BANK OF AMERICA/MERRILL (BAMLML)	259	SSCC	В	25,000	17.26	n/a	26-Aug	0.00	0.0
AO, CRT	08/25	BANK OF AMERICA/MERRILL (BAMLML)	259	SSCC	В	25,000	17.26	n/a	26-Aug	1000.00	4.0
AO,	08/25	NOMURA CAPITAL (NOMU7MS7)	029	WINN	S	2,416	8.06	n/a	n/a	72.48	3.0
AO,	08/25	NOMURA CAPITAL (NOMUBSMAIN)	029	WINN	S	484	8.06	n/a	n/a	14.52	3.0

TOTAL (AO, CXL, CRT): 4,762.00

TOTAL (RUN DATE) / NFS:	71,183.66
TOTAL (AO, CXL, CRT):	4,762.00
TOTAL (Trade Date):	66,421.66

## 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