



Daily Compliance Activity Report

Trade Date: 08/31/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
NORTHWESTERN MUTUAL LIFE	047	AAUKY	B	19,600	17.84	n/a	n/a	784.00 4.0
NORTHWESTERN MUTUAL LIFE	047	ABX	B	15,700	47.14	n/a	n/a	628.00 4.0
EXIS CAPITAL	044	AEO	S	65,000	12.94	n/a	27-Aug	3,250.00 5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	10,000	35.09	n/a	27-Aug	350.00 3.5
NORTHWESTERN MUTUAL LIFE	047	APC	B	4,900	45.92	n/a	4-Aug	196.00 4.0
1798 CAP/LOMBARD ASSET	040	AWI	B	17,200	39.91	n/a	n/a	860.00 5.0
NORTHWESTERN MUTUAL LIFE	047	BEXP	B	6,200	15.56	n/a	n/a	248.00 4.0
PATTEN & PATTEN	067	BP	B	600	34.88	n/a	n/a	30.00 5.0
NORTHWESTERN MUTUAL LIFE	047	BTU	B	4,200	42.82	n/a	n/a	168.00 4.0
BUCK CAPITAL MGMT	001	BYD	B	50,000	6.98	n/a	n/a	1,500.00 3.0
BUCK CAPITAL MGMT	001	CAB	B	20,000	15.70	n/a	n/a	800.00 4.0
CAERUS GLOBAL	041	CAKE	SS	10,300	22.49	n/a	23-Jul	412.00 4.0
NORTHWESTERN MUTUAL LIFE	047	CAM	B	5,700	36.97	n/a	n/a	228.00 4.0
WADDELL AND REED	047	CBS	B	250,000	13.75	n/a	n/a	7,500.00 3.0

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PATTEN & PATTEN	067	CB	B	600	54.87	n/a	n/a	30.00	5.0
1798 CAP/LOMBARD ASSET	040	CLF	SS	1,070	59.27	n/a	n/a	53.50	5.0
NORTHWESTERN MUTUAL LIFE	047	CLF	B	3,600	60.64	n/a	n/a	144.00	4.0
NORTHWESTERN MUTUAL LIFE	047	COP	B	3,200	52.40	n/a	n/a	128.00	4.0
NORTHWESTERN MUTUAL LIFE	047	CVX	B	6,300	74.04	n/a	n/a	252.00	4.0
FEDERATED INV/KAUFMAN	029	CXO	S	21,720	58.70	n/a	n/a	1,194.60	5.5
NORTHWESTERN MUTUAL LIFE	047	CXO	B	3,900	58.68	n/a	n/a	156.00	4.0
OZ MGMT	040	DAN	B	47,531	10.34	n/a	2-Aug	1,425.93	3.0
LEVIN CAPITAL STRATEGIES	012	DG	C	40,096	27.17	n/a	30-Aug	1,202.88	3.0
NORTHWESTERN MUTUAL LIFE	047	DNR	B	5,800	14.81	n/a	n/a	232.00	4.0
NORTHWESTERN MUTUAL LIFE	047	ESV	B	1,200	41.34	n/a	n/a	48.00	4.0
1798 CAP/LOMBARD ASSET	040	ES	SS	37,500	4.60	n/a	n/a	1,125.00	3.0
NORTHWESTERN MUTUAL LIFE	047	FCX	B	8,000	72.10	n/a	n/a	320.00	4.0
EXIS CAPITAL	044	FINL	S	35,000	13.24	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	FL	B	40,000	11.85	n/a	20-Aug	1,600.00	4.0
NORTHWESTERN MUTUAL LIFE	047	FTI	B	2,900	61.66	n/a	n/a	116.00	4.0

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COLONIAL FUND LLC	036	F	B	50,000	11.32	n/a	31-Aug	1,500.00	3.0
OZ MGMT	040	F	B	124,134	11.38	n/a	31-Aug	3,724.02	3.0
TRELLUS PARTNERS LP	028	F	B	25,000	11.18	n/a	31-Aug	1,250.00	5.0
BUCK CAPITAL MGMT	001	GES	B	20,000	32.73	n/a	26-Aug	800.00	4.0
NORTHWESTERN MUTUAL LIFE	047	GG	B	8,600	44.70	n/a	n/a	344.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	27.49	n/a	13-Aug	800.00	4.0
VISIUM/BALY BOBBY	044	GPI	SS	3,000	25.70	n/a	4-Aug	150.00	5.0
1798 CAP/LOMBARD ASSET	040	GVA	SS	5,450	21.73	n/a	n/a	272.50	5.0
NORTHWESTERN MUTUAL LIFE	047	HAL	B	11,600	28.27	n/a	n/a	464.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HES	B	3,400	50.30	n/a	n/a	136.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HP	B	700	37.22	n/a	n/a	28.00	4.0
FEDERATED INV/KAUFMAN	029	IL	S	10,022	13.05	n/a	n/a	551.21	5.5
PATTEN & PATTEN	067	INTC	B	1,000	17.65	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	ITT	S	500	42.35	n/a	30-Apr	25.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	30.52	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JNY	S	55,000	15.25	n/a	29-Jul	2,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KMX	B	60,000	20.15	n/a	n/a	2,400.00	4.0
EXIS CAPITAL	044	KSS	S	10,000	47.00	n/a	27-Aug	500.00	5.0
PATTEN & PATTEN	067	LAZ	S	1,000	31.29	n/a	20-Aug	50.00	5.0
1798 CAP/LOMBARD ASSET	040	MAR	SS	3,700	31.60	n/a	31-Aug	185.00	5.0
1798 CAP/LOMBARD ASSET	040	MHK	B	7,500	45.36	n/a	n/a	375.00	5.0
NORTHWESTERN MUTUAL LIFE	047	MT	B	12,100	29.01	n/a	n/a	484.00	4.0
BUCK CAPITAL MGMT	001	MW	B	34,184	19.63	n/a	n/a	1,367.36	4.0
EXIS CAPITAL	044	M	S	45,000	19.65	n/a	27-Aug	2,250.00	5.0
NORTHWESTERN MUTUAL LIFE	047	NEM	B	10,000	61.40	n/a	n/a	400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	NE	B	2,600	31.12	n/a	n/a	104.00	4.0
NORTHWESTERN MUTUAL LIFE	047	OXY	B	6,000	73.47	n/a	n/a	240.00	4.0
NORTHWESTERN MUTUAL LIFE	047	PBR	B	2,200	33.22	n/a	n/a	88.00	4.0
EXIS CAPITAL	044	PSS	S	25,000	13.27	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	PWR	S	1,000	17.92	n/a	n/a	50.00	5.0
NORTHWESTERN MUTUAL LIFE	047	RGLD	B	3,200	49.59	n/a	n/a	128.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	RIG	B	600	51.63	n/a	n/a	24.00	4.0
BUCK CAPITAL MGMT	001	RL	B	20,000	75.95	n/a	5-Aug	800.00	4.0
EXIS CAPITAL	044	RL	S	5,000	76.51	n/a	5-Aug	250.00	5.0
EXIS CAPITAL	044	RSH	S	5,000	18.62	n/a	n/a	250.00	5.0
NORTHWESTERN MUTUAL LIFE	047	RTP	B	21,900	50.40	n/a	n/a	876.00	4.0
1798 CAP/LOMBARD ASSET	040	SHAW	B	3,600	32.85	n/a	n/a	180.00	5.0
GABELLI FUNDS	025	SKS	S	3,400	8.05	n/a	n/a	170.00	5.0
NORTHWESTERN MUTUAL LIFE	047	SLB	B	6,900	53.50	n/a	n/a	276.00	4.0
NORTHWESTERN MUTUAL LIFE	047	SLW	B	5,300	23.07	n/a	n/a	212.00	4.0
CASTLEROCK	040	SSCC	S	3,929	16.62	n/a	26-Aug	157.16	4.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	600	16.75	n/a	26-Aug	30.00	5.0
SONTERRA CAP	041	SSCC	B	60,000	17.33	n/a	26-Aug	2,400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	TCK	B	22,000	33.43	n/a	n/a	880.00	4.0
PZENA INV ADV	044	TEL	B	7,925	24.70	n/a	n/a	277.38	3.5
PATTEN & PATTEN	067	TEVA	S	500	50.69	n/a	30-Aug	25.00	5.0
BASIX	033	TIN	B	11,000	16.13	n/a	26-Aug	330.00	3.0
SONTERRA CAP	041	TIN	B	50,000	16.24	n/a	26-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	TLB	B	70,000	10.36	n/a	n/a	2,800.00	4.0
IRIDIAN ASSET MGMT.	036	TRV	B	7,930	49.01	n/a	n/a	396.50	5.0
COBALT	041	TYC	B	300,000	37.54	n/a	18-Aug	15,000.00	5.0
NORTHWESTERN MUTUAL LIFE	047	VALE	B	9,000	26.71	n/a	n/a	360.00	4.0
CAERUS GLOBAL	041	VFC	B	20,000	71.05	n/a	23-Jul	800.00	4.0
EXIS CAPITAL	044	VFC	B	7,500	70.78	n/a	23-Jul	375.00	5.0
1798 CAP/LOMBARD ASSET	040	VMI	SS	2,840	67.29	n/a	n/a	142.00	5.0
1798 CAP/LOMBARD ASSET	040	WAB	SS	6,860	42.31	n/a	n/a	343.00	5.0
NORTHWESTERN MUTUAL LIFE	047	WFT	B	3,900	14.94	n/a	n/a	156.00	4.0
NORTHWESTERN MUTUAL LIFE	047	WLL	B	2,400	85.22	n/a	n/a	96.00	4.0
NORTHWESTERN MUTUAL LIFE	047	XOM	B	8,700	59.09	n/a	n/a	348.00	4.0
TOTAL (Trade Date) :								79,802.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/31	COLONIAL FUND LLC (COLOPERSHI)	036	F	B	50,000	11.32	n/a	31-Aug	1500.00 3.0
AO,	08/30	APEX CAPITAL MGMT. (APEXDB)	261	JWN	B	1,200	28.87	n/a	27-Aug	48.00 4.0
AO,	08/30	APEX CAPITAL MGMT. (APEXFIDO)	261	JWN	B	22,100	28.87	n/a	27-Aug	884.00 4.0
AO,	08/30	APEX CAPITAL MGMT. (APEXUBS)	261	JWN	B	2,000	28.87	n/a	27-Aug	80.00 4.0
AO,	08/30	APEX CAPITAL MGMT. (APEXMORGAN)	261	JWN	B	24,700	28.87	n/a	27-Aug	988.00 4.0
AO,CXL	08/27	FARALLON CAP MGMT (FARACS)	040	RIMM	SS	28,000	46.02	n/a	n/a	1120.00 4.0
AO,CRT	08/27	FARALLON CAP MGMT (FARACS)	040	RIMM	SS	28,000	46.02	n/a	n/a	840.00 3.0
AO,CXL	08/27	FARALLON CAP MGMT (FARABULK F)	040	RIMM	SS	122,000	46.02	n/a	n/a	4880.00 4.0
AO,CRT	08/27	FARALLON CAP MGMT (FARABULK F)	040	RIMM	SS	122,000	46.02	n/a	n/a	3660.00 3.0
CRT	08/31	EXIS CAPITAL (EXISJPMORG)	044	RSH	S	1,951	18.62	n/a	n/a	97.55 5.0
CRT	08/31	EXIS CAPITAL (EXISDEUTC)	044	RSH	S	3,049	18.62	n/a	n/a	152.45 5.0
AO,CXL	08/30	FARALLON CAP MGMT (FARACS)	040	TGT	B	25,000	50.94	n/a	27-Aug	1000.00 4.0
AO,CRT	08/30	FARALLON CAP MGMT (FARABULK F)	040	TGT	B	25,000	50.94	n/a	27-Aug	1000.00 4.0
TOTAL (AO, CXL, CRT) :										2,250.00

TOTAL (Trade Date) :	79,802.04
TOTAL (AO, CXL, CRT) :	2,250.00

TOTAL (RUN DATE) / NFS :	82,052.04
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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