



Daily Compliance Activity Report

Trade Date: 08/18/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOUT/UMB	047	AGCO	S	16,675	35.47	n/a	28-Jul	833.75	5.0
GREEN ARROW DOUG	040	AM	S	20,000	19.70	n/a	n/a	1,000.00	5.0
BRANDWINE	028	ANF	B	10,200	34.45	n/a	18-Aug	408.00	4.0
EXIS CAPITAL	044	ANF	SS	10,000	35.15	n/a	18-Aug	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	35.53	n/a	18-Aug	875.00	3.5
BALYASNY ASSET MGMT	044	ANN	SS	10,000	15.67	n/a	n/a	500.00	5.0
SNYDER CAPITAL	033	ANN	B	6,200	15.70	n/a	n/a	248.00	4.0
SNYDER CAPITAL	033	ANR	B	4,100	40.42	n/a	n/a	164.00	4.0
MTB INV ADV	034	ARM	B	21,800	14.91	n/a	n/a	1,090.00	5.0
DSG CAPITAL	225	ARO	B	6,000	22.96	n/a	6-Aug	300.00	5.0
EXIS CAPITAL	044	ARO	SS	10,000	23.43	n/a	6-Aug	500.00	5.0
CATAPULT	040	AXE	SS	6,000	47.86	n/a	27-Jul	300.00	5.0
CATAPULT	040	BA	B	2,000	65.80	n/a	29-Jul	100.00	5.0
WATERFRONT CAP	028	BBBY	B	14,500	38.90	n/a	n/a	580.00	4.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.98	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	BWS	B	50,000	13.60	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	CAKE	B	20,000	22.95	n/a	23-Jul	1,000.00	5.0
SNYDER CAPITAL	033	CBT	B	5,400	29.33	n/a	29-Jul	216.00	4.0
CATAPULT CAP/DEFRANCO	040	CCK	B	75,000	28.82	n/a	n/a	3,750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	CFFN	SS	8,200	29.43	n/a	n/a	410.00	5.0
M&I FUNDS	047	COH	B	9,000	38.17	n/a	4-Aug	360.00	4.0
SNYDER CAPITAL	033	CPO	B	3,400	34.12	n/a	n/a	136.00	4.0
SNYDER CAPITAL	033	CRI	B	4,500	23.01	n/a	n/a	180.00	4.0
SNYDER CAPITAL	033	CRK	B	4,400	22.06	n/a	n/a	176.00	4.0
CAISSE DEPOT PLACEMENT Q	031	CSCO	B	100,000	22.14	n/a	n/a	5,000.00	5.0
GABELLI FUNDS	040	CTV	B	5,100	20.36	n/a	n/a	255.00	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	2,900	9.66	n/a	n/a	145.00	5.0
BANK OF AMERICA/MERRILL	259	CVG	S	2,500	10.50	n/a	n/a	75.00	3.0
GREEN ARROW DOUG	040	DAN	B	23,900	11.26	n/a	2-Aug	1,195.00	5.0
MTB INV ADV	034	DAN	B	13,425	11.58	n/a	2-Aug	671.25	5.0
SNYDER CAPITAL	033	DBRN	B	7,600	22.29	n/a	n/a	304.00	4.0
BRAMWELL CAP	028	DELL	S	5,000	12.14	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	DELL	S	19,100	12.14	n/a	n/a	764.00	4.0
CATAPULT CAP/DEFRANCO	040	DOW	SS	38,500	25.60	n/a	3-Aug	1,925.00	5.0
GABELLI FUNDS	040	DY	B	1,700	8.82	n/a	n/a	85.00	5.0
GABELLI FUNDS	040	EPAY	B	2,000	14.51	n/a	n/a	100.00	5.0
GABELLI FUNDS	040	ESIO	B	1,300	11.61	n/a	n/a	65.00	5.0
GABELLI FUNDS	040	FCN	B	1,300	34.33	n/a	n/a	65.00	5.0
MELLON/BANK OF NEW YORK	046	FFIV	B	30,293	89.00	n/a	n/a	1,514.65	5.0
CATAPULT	040	FMC	B	5,100	62.23	n/a	n/a	255.00	5.0
CATAPULT CAP/DEFRANCO	040	FMC	B	28,000	62.89	n/a	n/a	1,400.00	5.0
GABELLI FUNDS	040	FRM	B	3,400	4.44	n/a	n/a	170.00	5.0
CAISSE DEPOT PLACEMENT Q	031	HK	B	100,000	16.13	n/a	n/a	5,000.00	5.0
KLEINHEINZ CAP PART	031	HOTT	B	75,000	4.98	n/a	n/a	3,750.00	5.0
COHE & STEERS	041	HST	S	14,716	14.07	n/a	n/a	441.48	3.0
WEINTRAUB CAPITAL MGT.	040	IP	B	25,000	21.94	n/a	28-Jul	1,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	31.64	n/a	13-Aug	400.00	4.0
MACKLOWE ASSET MGMT	041	KR	SS	42,000	21.32	n/a	n/a	1,680.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACKLOWE ASSET MGMT	041	KR	S	28,000	21.35	n/a	n/a	1,120.00	4.0
TRELLUS PARTNERS LP	028	LVS	SS	10,000	30.24	n/a	12-Aug	500.00	5.0
SNYDER CAPITAL	033	MAA	B	1,700	55.77	n/a	n/a	68.00	4.0
MELLON/BANK OF NEW YORK	046	MRVL	S	134,903	14.95	n/a	n/a	6,745.15	5.0
BUCK CAPITAL MGMT	001	MW	B	20,000	19.03	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	M	B	5,000	20.75	n/a	12-Aug	250.00	5.0
BANK OF AMERICA/MERRILL	259	OC	S	1,500	28.03	n/a	n/a	60.00	4.0
CATAPULT	040	OIH	SS	2,200	104.26	n/a	n/a	110.00	5.0
BAIRD INVESTMENT	047	OXY	B	3,750	75.80	n/a	n/a	187.50	5.0
COHE & STEERS	041	PCL	S	2,797	34.99	n/a	27-Jul	111.88	4.0
SIGMA CAPITAL ASSOCIATES	041	PLCE	SS	13,214	42.91	n/a	16-Aug	462.49	3.5
SNYDER CAPITAL	033	PLCE	B	2,000	42.21	n/a	16-Aug	80.00	4.0
CASEY CAPITAL	067	PRA	B	10,000	54.56	n/a	n/a	500.00	5.0
SUFFOLK CAPITAL MGMT	040	PX	S	140,000	88.91	n/a	28-Jul	5,600.00	4.0
GABELLI FUNDS	040	QLGC	B	2,000	14.88	n/a	n/a	100.00	5.0
CATAPULT	040	ROC	B	6,000	29.30	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	RS	B	20,000	39.39	n/a	n/a	1,000.00	5.0
MFP INVESTORS	085	RUTH	B	9,810	3.49	n/a	n/a	294.30	3.0
COHE & STEERS	041	RYN	S	2,809	48.09	n/a	9-Aug	112.36	4.0
SNYDER CAPITAL	033	SD	B	11,700	4.53	n/a	n/a	468.00	4.0
SNYDER CAPITAL	033	SHAW	B	4,600	32.23	n/a	n/a	184.00	4.0
SYSTEMATIC FINANCIAL MGT	035	SKX	B	59,575	29.09	n/a	n/a	1,787.25	3.0
SNYDER CAPITAL	033	SMTX	B	8,000	16.80	n/a	n/a	320.00	4.0
CASTLEROCK	040	SSCX	S	90,100	18.30	n/a	3-Aug	3,604.00	4.0
GEORGE WEISS	034	SSCX	B	60,000	18.29	n/a	3-Aug	1,800.00	3.0
MTB INV ADV	034	TEN	B	5,200	27.58	n/a	n/a	260.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	211,800	18.01	n/a	27-Jul	8,472.00	4.0
SCHOTTENFELD ASSOC	041	TIN	B	20,000	18.01	n/a	27-Jul	600.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	S	10,000	18.03		n/a 27-Jul	500.00	5.0
BALYASNY ASSET MGMT	044	TJX	C	10,000	41.55	n/a	18-Aug	500.00	5.0
GREEN ARROW DOUG	040	VCI	B	10,000	32.11	n/a	n/a	500.00	5.0
GABELLI FUNDS	040	VRGY	B	3,500	8.63	n/a	n/a	175.00	5.0
CATAPULT	040	WCC	B	6,900	34.30	n/a	n/a	345.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SNYDER CAPITAL	033	WCN	B	4,700	38.41	n/a	n/a	188.00	4.0
GREEN ARROW DOUG	040	WEN	S	25,000	4.18	n/a	13-Aug	1,250.00	5.0
SNYDER CAPITAL	033	WRC	B	3,100	41.22	n/a	6-Aug	124.00	4.0
WATERFRONT CAP	028	WSM	S	20,000	27.83	n/a	n/a	800.00	4.0
CATAPULT CAP/DEFRANCO	040	XLI	SS	60,000	29.95	n/a	n/a	3,000.00	5.0
SIGMA CAP BOBBY	044	XRT	SS	25,000	37.88	n/a	n/a	875.00	3.5
TOTAL (Trade Date) :								87,041.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/13	CASTLEROCK (CASTMERRIL)	040	ITT	SS	16,829	44.71	n/a	30-Apr	673.16 4.0
AO,CRT	08/13	CASTLEROCK (CASTUBS)	040	ITT	SS	16,829	44.71	n/a	30-Apr	673.16 4.0
AO,CRT	08/17	GREEN ARROW DOUG (GADRMLICS)	040	SLE	B	235,000	14.90	n/a	n/a	11750.00 5.0
AO,CXL	08/17	ISLE RIDGE PARTNERS (ISLEML)	041	SLE	B	235,000	14.90	n/a	n/a	11750.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	87,041.06
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	87,041.06
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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