



Daily Compliance Activity Report

Trade Date: 08/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	5,000	12.52	n/a	6-Aug	250.00	5.0
SENATOR INVESTMENT GROUP	036	AMTD	S	50,000	16.46	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	38.63	n/a	6-Aug	400.00	4.0
FEDERATED INV/KAUFMAN	029	ARTG	S	100,000	3.40	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	036	ASTE	S	11,300	30.08	n/a	n/a	452.00	4.0
ROTHSCHILD ASSET	040	ATO	B	21,502	29.08	n/a	n/a	860.08	4.0
1798 CAP/LOMBARD ASSET	040	AVY	C	15,200	36.10	n/a	29-Jul	760.00	5.0
ROYCE TRADING	012	CF	S	18,980	80.94	n/a	n/a	949.00	5.0
EXIS CAPITAL	044	CHS	B	5,400	8.85	n/a	5-Feb	270.00	5.0
1798 CAP/LOMBARD ASSET	040	CLF	S	13,000	60.97	n/a	n/a	650.00	5.0
M&I FUNDS	047	COH	B	35,000	39.11	n/a	4-Aug	1,400.00	4.0
GREEN ARROW DOUG	040	CPKI	B	30,000	16.29	n/a	6-Aug	1,500.00	5.0
IRIDIAN ASSET MGMT.	036	CSX	B	7,840	53.21	n/a	n/a	392.00	5.0
LEVIN CAPITAL STRATEGIES	012	CSX	S	10,000	52.82	n/a	n/a	300.00	3.0
THIRD COAST CAPITAL	035	DAN	S	15,000	12.06	n/a	2-Aug	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	DKS	S	25,000	27.70	n/a	11-Jun	875.00	3.5
GEOSPHERE CAPITAL MGMT	084	DNR	S	28,860	16.69	n/a	n/a	865.80	3.0
EXIS CAPITAL	044	DPZ	B	6,100	13.14	n/a	27-Jul	305.00	5.0
CAMBIAR CAP	046	DTV	S	241,630	39.47	n/a	n/a	9,665.20	4.0
GEOSPHERE CAPITAL MGMT	084	DVN	B	3,830	65.46	n/a	19-Jul	114.90	3.0
MTB INV ADV	034	ECHO	B	10,375	13.27	n/a	n/a	518.75	5.0
BUCK CAPITAL MGMT	001	EL	B	10,000	62.98	n/a	7-Jun	400.00	4.0
IRIDIAN ASSET MGMT.	036	EMC	S	23,140	20.17	n/a	n/a	1,157.00	5.0
1798 CAP/LOMBARD ASSET	040	EP	S	10,000	12.39	n/a	n/a	500.00	5.0
CONIFER/ISF	025	FL	B	10,000	12.90	n/a	29-Jul	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	75,000	38.03	n/a	19-Jul	2,250.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	100,000	31.85	n/a	19-Jul	3,000.00	3.0
KLEINHEINZ CAP PART	031	GOLD	B	40,000	85.46	n/a	n/a	2,000.00	5.0
KLEINHEINZ CAP PART	031	HD	SS	100,000	28.10	n/a	20-Jul	5,000.00	5.0
CATAPULT	040	HMIN	B	10,000	42.91	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	HOTT	B	100,000	4.90	n/a	n/a	5,000.00	5.0
PNC CAPITAL ADV	028	HPQ	S	86,010	42.61	n/a	n/a	3,440.40	4.0
SONTERRA CAP	041	HUN	B	48,723	10.12	n/a	n/a	1,948.92	4.0
BUCK CAPITAL MGMT	001	JAH	S	20,000	27.88	n/a	n/a	800.00	4.0
SANDLER CAPITAL	226	JBHT	S	50,000	34.70	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	KG	S	12,000	9.00	n/a	10-Aug	480.00	4.0
SAC CAPITAL/M GRONET	030	KO	B	10,000	56.95	n/a	22-Jul	350.00	3.5
NEUBERGER BERMAN	036	LAYN	S	7,000	25.00	n/a	n/a	280.00	4.0
FARALLON CAP MGMT	040	MHK	SS	94,700	51.23	n/a	n/a	3,788.00	4.0
NEUSTRADA CAP LLC	085	MHK	SS	19,600	51.03	n/a	n/a	784.00	4.0
EXIS CAPITAL	044	M	B	10,000	19.56	n/a	6-Aug	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	NOV	B	10,000	40.80	n/a	n/a	300.00	3.0
LOCUS WOOD CAPITAL MGMT	044	NOV	SS	15,000	40.44	n/a	n/a	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	NSC	S	10,000	56.93	n/a	n/a	300.00	3.0
SAC CAPITAL/M GRONET	030	PVH	B	15,000	53.22	n/a	19-Jul	525.00	3.5
NEUBERGER BERMAN	036	RBN	S	18,300	24.63	n/a	n/a	732.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	15,000	29.31	n/a	n/a	600.00	4.0
1798 CAP/LOMBARD ASSET	040	SPY	SS	4,900	111.83	n/a	n/a	245.00	5.0
ELM RIDGE ADVISORS	044	SSCC	B	40,000	20.03	n/a	3-Aug	1,600.00	4.0
GEOSPHERE CAPITAL MGMT	084	SWN	S	20,304	37.07	n/a	6-Aug	609.12	3.0
GEORGE WEISS	034	TIN	C	28,700	18.93	n/a	27-Jul	1,148.00	4.0
HARBORWATCH/DIAMBACK	232	TIN	B	20,000	19.09	n/a	27-Jul	1,000.00	5.0
ADAGE CAPITAL MGMT	030	TLB	S	45,000	10.50	n/a	n/a	1,350.00	3.0
EXIS CAPITAL	044	TLB	B	5,000	10.55	n/a	n/a	250.00	5.0
SAC CHICAGO ANDREW	031	WFMI	SS	100,000	36.36	n/a	n/a	3,500.00	3.5
GEOSPHERE CAPITAL MGMT	084	XOM	B	15,897	61.92	n/a	n/a	476.91	3.0
1798 CAP/LOMBARD ASSET	040	XRX	S	25,000	9.38	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								75,992.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/09	NEUBERGER BERMAN (NBER9W16)	036	ASTE	S	10,400	30.36	n/a	n/a	416.00 4.0
AO,CXL	08/05	FARALLON CAP MGMT (FARACS)	040	GENZ	B	9,700	69.35	n/a	n/a	388.00 4.0
AO,CRT	08/05	FARALLON CAP MGMT (FARACS)	040	GENZ	B	9,700	69.35	n/a	n/a	291.00 3.0
CRT	08/10	SONTERRA CAP (SONTMSBULK)	041	HUN	B	48,723	10.12	n/a	n/a	1948.92 4.0
AO,	08/09	NEUBERGER BERMAN (NBER9W16)	036	LAYN	S	8,900	25.20	n/a	n/a	356.00 4.0
AO,	08/09	NEUBERGER BERMAN (NBER9W16)	036	RBN	S	21,700	24.87	n/a	n/a	868.00 4.0
AO,CXL	08/06	COLUMBUS CIRCLE (COLCCLOSED)	036	TMO	S	70	45.34	n/a	n/a	2.80 4.0
AO,	08/06	COLUMBUS CIRCLE (COLCJPMPB)	036	TMO	S	70	45.34	n/a	n/a	2.80 4.0
TOTAL (AO, CXL, CRT) :										3,491.92
TOTAL (Trade Date) :										75,992.08
TOTAL (AO, CXL, CRT) :										3,491.92
TOTAL (RUN DATE) / NFS :										79,484.00

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