



Daily Compliance Activity Report

Trade Date: 08/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	30,000	13.41	n/a	26-Aug	1,200.00	4.0
EXIS CAPITAL	044	AEO	B	5,000	13.20	n/a	26-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	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	B	13,800	30.62	n/a	30-Jul	414.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		CIT	S	4,700	37.03		n/a 25-Aug	235.00	5.0
1798 CAP/LOMBARD ASSET	040	CLF	SS	17,500	57.95	n/a	n/a	875.00	5.0
AELTUS/ING INVESTMENT MGT	215	COP	B	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	B	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	B	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	B	25,000	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	B	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	C	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 INVESTMENT MGT	215	HK	B	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	B	10,000	30.74	n/a	13-Aug	400.00	4.0
EXIS CAPITAL	044	JWN	B	5,000	30.25	n/a	13-Aug	250.00	5.0
1798 CAP/LOMBARD ASSET	040	MCP	B	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	B	15,000	19.37	n/a	12-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	SS	50,000	19.69	n/a	12-Aug	1,750.00	3.5
CASTLEROCK	040	NAV	SS	62,719	42.92	n/a	n/a	2,508.76	4.0
SUFFOLK CAPITAL MGMT	040	NKE	B	100,000	71.04	n/a	n/a	4,000.00	4.0

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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	WAB	SS	9,400	42.49	n/a	n/a	470.00	5.0
TOTAL (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 INVESTMENT MGT (AELTGBL)	215	BHI	S	48,300	38.42	n/a	n/a	1690.50 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTPMF)	215	BHI	S	6,000	38.42	n/a	n/a	210.00 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTIRRGBL)	215	BHI	S	5,700	38.42	n/a	n/a	199.50 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTGBL)	215	HK	B	20,100	14.64	n/a	n/a	703.50 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTPMF)	215	HK	B	2,500	14.64	n/a	n/a	87.50 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTIRRGBL)	215	HK	B	2,400	14.64	n/a	n/a	84.00 3.5
AO,CXL	08/25	M&I FUNDS (MIFD123)	047	KO	B	7,360	55.40	n/a	22-Jul	294.40 4.0
AO,CRT	08/25	M&I FUNDS (MIFD123)	047	KO	B	7,420	55.40	n/a	22-Jul	296.80 4.0
AO,CXL	08/25	M&I FUNDS (MIFDMAIN)	047	KO	B	277	55.40	n/a	22-Jul	11.08 4.0
AO,CRT	08/25	M&I FUNDS (MIFDMAIN)	047	KO	B	217	55.40	n/a	22-Jul	8.68 4.0
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTGBL)	215	SLB	B	16,200	54.21	n/a	n/a	567.00 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTPMF)	215	SLB	B	1,900	54.21	n/a	n/a	66.50 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT (AELTIRRGBL)	215	SLB	B	1,900	54.21	n/a	n/a	66.50 3.5
AO,CXL	08/25	BANK OF AMERICA/MERRILL (BAMLML)	259	SSCC	B	25,000	17.26	n/a	26-Aug	0.00 0.0
AO,CRT	08/25	BANK OF AMERICA/MERRILL (BAMLML)	259	SSCC	B	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 (Trade Date):	66,421.66
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TOTAL (RUN DATE) / NFS:	71,183.66
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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