



## Daily Compliance Activity Report

Trade Date: 08/11/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
IRIDIAN ASSET MGMT.	036	ACI	B	55,290	24.38	n/a	n/a	2,764.50 5.0
EXIS CAPITAL	044	AEO	B	10,000	12.30	n/a	6-Aug	500.00 5.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	10,000	55.52	n/a	2-Aug	300.00 3.0
DAVIDSON KEMPNER ADVISOR	040	APD	B	10,000	75.28	n/a	22-Jul	500.00 5.0
MTB INV ADV	034	ARM	S	9,650	14.81	n/a	n/a	482.50 5.0
EXIS CAPITAL	044	ARO	B	5,000	24.00	n/a	6-Aug	250.00 5.0
NEUBERGER BERMAN	036	ASTE	S	7,000	28.52	n/a	n/a	280.00 4.0
SIGMA CAPITAL ASSOCIATES	041	AVP	SS	50,000	30.05	n/a	30-Jul	1,750.00 3.5
PZENA INV ADV	044	AVT	B	2,450	25.18	n/a	n/a	85.75 3.5
MTB INV ADV	034	AXL	S	15,550	9.23	n/a	4-Aug	777.50 5.0
MELLON/BANK OF NEW YORK	046	BAX	B	10,575	45.23	n/a	n/a	528.75 5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>30,000</b>	<b>43.46</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00 4.0</b>
DIAMONDBACK CAP MGMT	232	CFR	SS	10,000	53.24	n/a	n/a	500.00 5.0
1798 CAP/LOMBARD ASSET	040	CLF	S	45,100	58.48	n/a	n/a	2,255.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	CMI	B	25,000	77.62	n/a	28-Jul	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	COV	B	12,925	37.88	n/a	n/a	646.25	5.0
SAXON WOODS ADVISORS	242	CPY	B	10,000	20.67	n/a	n/a	400.00	4.0
MTB INV ADV	034	DAN	S	25,975	11.19	n/a	2-Aug	1,298.75	5.0
DALTON GREINER	012	DOV	S	128,236	47.08	n/a	n/a	6,411.80	5.0
BALYASNY ASSET MGMT	044	EL	C	20,000	61.74	n/a	7-Jun	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	EV	S	10,000	29.44	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	FII	SS	20,000	20.69	n/a	2-Mar	1,000.00	5.0
EXIS CAPITAL	044	FINL	B	10,000	12.68	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	FL	B	10,000	12.49	n/a	29-Jul	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>40,200</b>	<b>12.49</b>	<b>n/a</b>	<b>29-Jul</b>	<b>1,608.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>50,000</b>	<b>30.12</b>	<b>n/a</b>	<b>19-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
CAMBIAR CAP	046	HAR	B	74,180	29.03	n/a	6-Aug	2,967.20	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>S</b>	<b>50,000</b>	<b>26.65</b>	<b>n/a</b>	<b>11-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	HD	SS	10,000	27.78	n/a	20-Jul	500.00	5.0
IRIDIAN ASSET MGMT.	036	HPQ	S	27,980	41.33	n/a	n/a	1,399.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	HPQ	S	6,840	40.86	n/a	n/a	342.00	5.0
SONTERRA CAP	041	HUN	B	45,000	9.34	n/a	n/a	1,350.00	3.0
SHEFFIELD ASSET MGMT	031	IWM	B	50,000	62.51	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	JAH	S	45,000	26.76	n/a	n/a	1,800.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	34.16	n/a	n/a	400.00	4.0
PZENA INV ADV	044	JCP	B	5,850	20.78	n/a	6-Aug	204.76	3.5
MELLON/BANK OF NEW YORK	046	JNJ	S	12,150	58.50	n/a	n/a	607.50	5.0
SYSTEMATIC FINANCIAL MGT	035	JNS	B	46,500	9.99	n/a	n/a	1,395.00	3.0
ONE EAST CAP ADV LP	048	KKR	S	10,000	9.70	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	KSS	B	25,000	47.90	n/a	6-Aug	1,000.00	4.0
NEUBERGER BERMAN	036	LAYN	S	16,900	24.26	n/a	n/a	676.00	4.0
ARCHON CAPITAL	035	LPX	B	71,900	6.81	n/a	5-Aug	2,157.00	3.0
T. ROWE PRICE	033	LPX	B	58,909	6.75	n/a	5-Aug	1,767.27	3.0
BUCK CAPITAL MGMT	001	LTD	S	30,000	25.05	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	24.92	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	M	S	80,000	20.29	n/a	6-Aug	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	M	B	10,000	19.70	n/a	6-Aug	500.00	5.0
CATAPULT	040	NTRS	B	10,000	50.15	n/a	10-Aug	500.00	5.0
BMO NESBITT BURNS	041	PKG	SS	4,000	23.17	n/a	20-Jul	200.00	5.0
KENNEDY CAPITAL	046	PSUN	S	150,000	4.03	n/a	n/a	3,000.00	2.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	36,400	50.29	n/a	19-Jul	1,092.00	3.0
DAVIDSON KEMPNER ADVISOR	040	PX	SS	3,300	86.90	n/a	28-Jul	165.00	5.0
COOPER CREEK PART	028	RRTS	B	10,000	13.25	n/a	n/a	400.00	4.0
METROPOLITAN CAPITAL	044	SKS	B	15,600	8.13	n/a	n/a	780.00	5.0
BMO NESBITT BURNS	041	SSCC	B	3,000	19.09	n/a	3-Aug	150.00	5.0
TROUBH PART	067	SUP	B	10,000	13.87	n/a	2-Aug	500.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	S	20,000	12.64	n/a	n/a	1,000.00	5.0
MTB INV ADV	034	TEN	S	6,225	26.46	n/a	n/a	311.25	5.0
MELLON/BANK OF NEW YORK	046	TEVA	S	16,890	49.99	n/a	10-Aug	844.50	5.0
BALYASNY ASSET MGMT	044	TGT	SS	7,900	52.26	n/a	6-Aug	395.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	41.70	n/a	6-Aug	250.00	5.0
1798 CAP/LOMBARD ASSET	040	TKR	S	6,200	33.68	n/a	n/a	310.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	289	TKR	S	4,411	34.58	n/a	n/a	176.44	4.0
GREEN ARROW DOUG	040	TPX	SS	30,000	29.87	n/a	n/a	1,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TXI	S	20,000	32.43	n/a	n/a	1,000.00	5.0
METROPOLITAN CAPITAL	044	VCLK	B	7,800	9.93	n/a	n/a	390.00	5.0
CAXTON PART	040	VIAB	B	35,431	32.62	n/a	n/a	1,240.10	3.5
FARALLON CAP MGMT	040	WMT	S	100,000	51.14	n/a	19-May	4,000.00	4.0
NEUSTRADA CAP LLC	085	WMT	S	39,600	51.15	n/a	19-May	1,188.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>42.24</b>	<b>n/a</b>	<b>6-Aug</b>	<b>400.00</b>	<b>4.0</b>
COOPER CREEK PART	028	WRC	SS	4,000	43.48	n/a	6-Aug	160.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	42.17	n/a	6-Aug	1,500.00	3.0
1798 CAP/LOMBARD ASSET	040	XRX	S	135,000	9.42	n/a	n/a	5,400.00	4.0
EXIS CAPITAL	044	ZQK	B	10,000	4.09	n/a	10-May	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>83,406.82</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/10	SAC CAPITAL/M GRONET (SACJMSCO)	030	KO	B	10,000	56.95	n/a	22-Jul	350.00 3.5
AO,CRT	08/10	SAC CAPITAL/M GRONET (SACJCSPB)	030	KO	B	10,000	56.95	n/a	22-Jul	350.00 3.5
AO,CXL	08/10	NEUSTRADA CAP LLC (NEUSJPMPB)	085	MHK	SS	19,600	51.03	n/a	n/a	784.00 4.0
AO,CRT	08/10	NEUSTRADA CAP LLC (NEUSJPMPB)	085	MHK	SS	19,600	51.03	n/a	n/a	588.00 3.0
AO,CXL	08/10	SAC CAPITAL/M GRONET (SACJMSCO)	030	PVH	B	15,000	53.22	n/a	19-Jul	525.00 3.5
AO,CRT	08/10	SAC CAPITAL/M GRONET (SACJCSPB)	030	PVH	B	15,000	53.22	n/a	19-Jul	525.00 3.5
AO,	08/10	GEOSPHERE CAPITAL MGMT (GEOSMSPB)	084	XOM	B	3,988	61.92	n/a	n/a	119.64 3.0
AO,CXL	08/10	GEOSPHERE CAPITAL MGMT (GEOSFIDO)	084	XOM	B	15,897	61.92	n/a	n/a	476.91 3.0
AO,CRT	08/10	GEOSPHERE CAPITAL MGMT (GEOSFIDO)	084	XOM	B	11,909	61.92	n/a	n/a	357.27 3.0

**TOTAL (AO, CXL, CRT) :****-196.00**

TOTAL (Trade Date):

83,406.82

TOTAL (AO, CXL, CRT):

-196.00

**TOTAL (RUN DATE) / NFS:****83,210.82**

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