



# Daily Compliance Activity Report

Trade Date: 10/26/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR #       | Symbol     | B/S      | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|----------------|--------------|------------|---------------|-----------------|------------|
| GRUSS CAPITAL            | 025        | ADBE       | B        | 1,000          | 28.04        | n/a        | n/a           | 30.00           | 3.0        |
| SYSTEMATIC FINANCIAL MGT | 035        | AEO        | B        | 23,500         | 17.14        | n/a        | 11-Oct        | 705.00          | 3.0        |
| BALYASNY ASSET MGMT      | 044        | ALV        | SS       | 15,000         | 69.55        | n/a        | 19-Oct        | 750.00          | 5.0        |
| BASCOM HILL PARTNERS LLC | 033        | ANF        | S        | 5,000          | 45.40        | n/a        | 11-Oct        | 150.00          | 3.0        |
| SENATOR INVESTMENT GROUP | 036        | ANR        | S        | 60,000         | 45.73        | n/a        | n/a           | 1,800.00        | 3.0        |
| STANDARD PACIFIC CAPITAL | 040        | APOL       | S        | 138,300        | 36.94        | n/a        | n/a           | 6,915.00        | 5.0        |
| BROADARCH CAP/OLD NEWC   | 070        | ARM        | B        | 4,700          | 15.90        | n/a        | n/a           | 188.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>ARO</b> | <b>B</b> | <b>200,000</b> | <b>26.54</b> | <b>n/a</b> | <b>11-Oct</b> | <b>8,000.00</b> | <b>4.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>ARO</b> | <b>B</b> | <b>100</b>     | <b>26.30</b> | <b>n/a</b> | <b>11-Oct</b> | <b>0.00</b>     | <b>0.0</b> |
| <b>LISTED ERR</b>        | <b>099</b> | <b>ARO</b> | <b>S</b> | <b>100</b>     | <b>26.65</b> | <b>n/a</b> | <b>11-Oct</b> | <b>0.00</b>     | <b>0.0</b> |
| FRED ALGER MGMT          | 035        | AUXL       | S        | 36,277         | 25.81        | n/a        | n/a           | 1,378.53        | 3.8        |
| BASIX                    | 033        | AXE        | B        | 10,000         | 54.97        | n/a        | 25-Oct        | 300.00          | 3.0        |
| WEINTRAUB CAPITAL MGT.   | 040        | AXE        | S        | 15,000         | 55.21        | n/a        | 25-Oct        | 600.00          | 4.0        |
| THOMAS WEISEL ASSET MGMT | 035        | BEAV       | S        | 5,351          | 36.26        | n/a        | 12-Oct        | 160.53          | 3.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>BID</b> | <b>B</b> | <b>30,000</b>  | <b>42.49</b> | <b>n/a</b> | <b>n/a</b>    | <b>1,200.00</b> | <b>4.0</b> |
| PLATTE RIVER CAPITAL     | 240        | CIT        | S        | 2,490          | 42.85        | n/a        | 26-Oct        | 99.60           | 4.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares       | Price        | MRI        | Research   | Comm.¢/Shr.  |            |
|--------------------------|------------|------------|----------|--------------|--------------|------------|------------|--------------|------------|
| RBC CAPITAL MARKETS      | 040        | CL         | B        | 8,000        | 76.23        | n/a        | 26-Oct     | 320.00       | 4.0        |
| CASTLE ARK               | 031        | COH        | B        | 77,260       | 49.57        | n/a        | 18-Oct     | 3,863.00     | 5.0        |
| M&I FUNDS                | 047        | COH        | S        | 44,000       | 49.07        | n/a        | 18-Oct     | 1,760.00     | 4.0        |
| SAC TRADING TOM LEDDY    | 035        | COH        | SS       | 15,000       | 49.14        | n/a        | 18-Oct     | 525.00       | 3.5        |
| <b>MATRIX ASSET ADV.</b> | <b>091</b> | <b>COP</b> | <b>S</b> | <b>1,500</b> | <b>61.23</b> | <b>n/a</b> | <b>n/a</b> | <b>60.00</b> | <b>4.0</b> |
| TOCQUEVILLE              | 067        | CRDN       | S        | 15,000       | 24.57        | n/a        | n/a        | 750.00       | 5.0        |
| KACELA CAPITAL           | 034        | CTXS       | B        | 35,000       | 62.16        | n/a        | n/a        | 1,400.00     | 4.0        |
| Õ Ravi Sadarangani       |            | CVGI       | B        | 1500         | 13.2800      | n/a        | n/a        | 0.00         | 0.0        |
| Õ Ravi Sadarangani       |            | CVGI       | B        | 400          | 13.3400      | n/a        | n/a        | 0.00         | 0.0        |
| FRED ALGER MGMT          | 035        | CYH        | S        | 237,160      | 30.35        | n/a        | n/a        | 9,012.08     | 3.8        |
| OZ MGMT                  | 040        | CYH        | B        | 119,000      | 30.40        | n/a        | n/a        | 3,570.00     | 3.0        |
| BALYASNY ASSET MGMT      | 044        | DLTR       | SS       | 20,000       | 51.69        | n/a        | 26-Oct     | 1,000.00     | 5.0        |
| COUGAR TRADING           | 044        | DLTR       | B        | 10,000       | 51.71        | n/a        | 26-Oct     | 500.00       | 5.0        |
| COUGAR TRADING           | 044        | DLTR       | SS       | 10,000       | 51.93        | n/a        | 26-Oct     | 500.00       | 5.0        |
| RBC CAPITAL MARKETS      | 040        | DOW        | S        | 50,000       | 31.41        | n/a        | 13-Oct     | 2,000.00     | 4.0        |
| ROSEDALE CAPITAL         | 046        | DVN        | B        | 20,000       | 64.59        | n/a        | 22-Oct     | 1,000.00     | 5.0        |
| BASCOM HILL PARTNERS LLC | 033        | ERTS       | B        | 26,116       | 15.86        | n/a        | n/a        | 783.48       | 3.0        |
| ADAGE CAPITAL MGMT       | 030        | FLO        | B        | 4,867        | 24.49        | n/a        | n/a        | 146.01       | 3.0        |

| Account                  | RR #       | Symbol     | B/S      | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.    |            |
|--------------------------|------------|------------|----------|----------------|--------------|------------|---------------|-----------------|------------|
| MERRILL ASSET/BLACKROCK  | 266        | FTO        | B        | 55,500         | 13.61        | n/a        | n/a           | 2,220.00        | 4.0        |
| OZ MGMT                  | 040        | F          | B        | 150,000        | 14.25        | n/a        | 19-Oct        | 4,500.00        | 3.0        |
| MERRILL ASSET/BLACKROCK  | 266        | GCO        | S        | 26,100         | 33.26        | n/a        | n/a           | 1,044.00        | 4.0        |
| JET CAPITAL/CHRIS        | 041        | GENZ       | B        | 20,000         | 72.25        | n/a        | n/a           | 600.00          | 3.0        |
| BASCOM HILL PARTNERS LLC | 033        | GMCR       | B        | 10,000         | 32.21        | n/a        | n/a           | 300.00          | 3.0        |
| BALYASNY ASSET MGMT      | 044        | GPI        | SS       | 10,000         | 35.41        | n/a        | 19-Oct        | 500.00          | 5.0        |
| SOROS                    | 036        | GT         | C        | 268,500        | 11.74        | n/a        | n/a           | 10,740.00       | 4.0        |
| SPARTA ASSET MGMT        | 035        | GYMB       | S        | 40,000         | 65.02        | n/a        | 8-Oct         | 1,200.00        | 3.0        |
| DIAMONDBACK CAP MGMT     | 232        | HD         | SS       | 25,000         | 31.38        | n/a        | 7-Oct         | 1,250.00        | 5.0        |
| KLEINHEINZ CAP PART      | 031        | HD         | SS       | 50,000         | 31.05        | n/a        | 7-Oct         | 2,500.00        | 5.0        |
| PLATTE RIVER CAPITAL     | 240        | HD         | S        | 25,190         | 31.26        | n/a        | 7-Oct         | 1,007.60        | 4.0        |
| BALYASNY ASSET MGMT      | 044        | HIBB       | S        | 10,000         | 27.73        | n/a        | n/a           | 500.00          | 5.0        |
| RBC CAPITAL MARKETS      | 040        | IP         | B        | 20,000         | 23.89        | n/a        | 18-Oct        | 800.00          | 4.0        |
| RBC CAPITAL MARKETS      | 040        | IWM        | B        | 20,000         | 70.46        | n/a        | n/a           | 800.00          | 4.0        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JCG</b> | <b>S</b> | <b>162,600</b> | <b>31.76</b> | <b>n/a</b> | <b>n/a</b>    | <b>6,504.00</b> | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>JNY</b> | <b>B</b> | <b>50,000</b>  | <b>19.62</b> | <b>n/a</b> | <b>18-Oct</b> | <b>2,000.00</b> | <b>4.0</b> |

| Account                  | RR #       | Symbol     | B/S       | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.     |            |
|--------------------------|------------|------------|-----------|---------------|--------------|------------|------------|-----------------|------------|
| PZENA INV ADV            | 044        | JPM        | B         | 32,250        | 37.10        | n/a        | 19-Oct     | 1,128.81        | 3.5        |
| <b>BUCK CAPITAL MGMT</b> | <b>001</b> | <b>KR</b>  | <b>SS</b> | <b>50,000</b> | <b>22.01</b> | <b>n/a</b> | <b>n/a</b> | <b>2,000.00</b> | <b>4.0</b> |
| RBC CAPITAL MARKETS      | 040        | KSS        | SS        | 10,000        | 52.59        | n/a        | 11-Oct     | 400.00          | 4.0        |
| SAC TRADING TOM LEDDY    | 035        | KSS        | SS        | 25,000        | 52.70        | n/a        | 11-Oct     | 875.00          | 3.5        |
| SANDLER CAPITAL          | 226        | KSU        | B         | 85,000        | 44.09        | n/a        | n/a        | 5,100.00        | 6.0        |
| JP MORGAN VENTURES       | 046        | LPS        | S         | 10,000        | 27.26        | n/a        | n/a        | 500.00          | 5.0        |
| STELLIAM INV ADV         | 034        | LRCX       | SS        | 10,000        | 44.32        | n/a        | n/a        | 500.00          | 5.0        |
| <b>MATRIX ASSET ADV.</b> | <b>091</b> | <b>MHP</b> | <b>S</b>  | <b>2,000</b>  | <b>37.30</b> | <b>n/a</b> | <b>n/a</b> | <b>80.00</b>    | <b>4.0</b> |
| SAC CAPITAL/M GRONET     | 030        | M          | B         | 10,000        | 22.92        | n/a        | 11-Oct     | 350.00          | 3.5        |
| ARTX                     | 047        | NOV        | B         | 3,300         | 50.33        | n/a        | n/a        | 165.00          | 5.0        |
| SCHOTTENFELD ASSOC       | 041        | PG         | B         | 20,000        | 62.72        | n/a        | 26-Oct     | 600.00          | 3.0        |
| CSFB GLOBAL PROPRIETARY  | 041        | PKG        | B         | 20,000        | 24.09        | n/a        | 19-Oct     | 1,000.00        | 5.0        |
| IRIDIAN ASSET MGMT.      | 036        | PKG        | B         | 173,980       | 24.30        | n/a        | 19-Oct     | 8,699.00        | 5.0        |
| NOMURA CAPITAL           | 029        | QLTY       | S         | 3,000         | 7.42         | n/a        | n/a        | 60.00           | 2.0        |
| FIRST NEW YORK NICK      | 029        | Q          | S         | 40,000        | 6.54         | n/a        | n/a        | 2,000.00        | 5.0        |
| GRUSS CAPITAL            | 025        | REP        | S         | 2,500         | 26.99        | n/a        | n/a        | 75.00           | 3.0        |

| Account                            | RR #       | Symbol     | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.     |            |
|------------------------------------|------------|------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| ARTX                               | 047        | RL         | B        | 2,500         | 95.37        | n/a        | 18-Oct        | 125.00          | 5.0        |
| WEDBUSH/PACIFIC GROWTH EQTY LLC084 |            | SIMG       | S        | 24,901        | 4.57         |            | n/a           | n/a             | 996.04 4.0 |
| <b>BUCK CAPITAL MGMT</b>           | <b>001</b> | <b>SKX</b> | <b>S</b> | <b>30,000</b> | <b>24.01</b> | <b>n/a</b> | <b>n/a</b>    | <b>1,200.00</b> | <b>4.0</b> |
| CENTURION PARTNERS                 | 041        | SKX        | S        | 50,000        | 24.14        | n/a        | n/a           | 2,000.00        | 4.0        |
| SAC TRADING TOM LEDDY              | 035        | SKX        | SS       | 30,000        | 24.08        | n/a        | n/a           | 1,050.00        | 3.5        |
| SHIKIAR ASSET                      | 029        | SLX        | S        | 16,800        | 63.58        | n/a        | n/a           | 840.00          | 5.0        |
| GRUSS CAPITAL                      | 025        | TLT        | B        | 10,000        | 100.20       | n/a        | n/a           | 300.00          | 3.0        |
| ARMATURE CAPITAL                   | 041        | UPS        | S        | 10,000        | 69.39        | n/a        | n/a           | 400.00          | 4.0        |
| BALYASNY ASSET MGMT                | 044        | URBN       | SS       | 20,000        | 31.00        | n/a        | n/a           | 1,000.00        | 5.0        |
| FIRST NY SEC/CHRIS                 | 041        | UUP        | B        | 30,000        | 22.52        | n/a        | n/a           | 1,200.00        | 4.0        |
| <b>BUCK CAPITAL MGMT</b>           | <b>001</b> | <b>VFC</b> | <b>B</b> | <b>15,000</b> | <b>85.22</b> | <b>n/a</b> | <b>22-Oct</b> | <b>600.00</b>   | <b>4.0</b> |
| GRUSS CAPITAL                      | 025        | VOD        | B        | 1,500         | 26.65        | n/a        | n/a           | 45.00           | 3.0        |
| CARLSON CAPITAL                    | 290        | WFC        | B        | 75,000        | 25.55        | n/a        | 21-Oct        | 3,000.00        | 4.0        |
| ARMATURE CAPITAL                   | 041        | WLT        | S        | 20,000        | 86.77        | n/a        | n/a           | 800.00          | 4.0        |
| SAC CAPITAL/M GRONET               | 030        | WRC        | B        | 10,000        | 56.34        | n/a        | 18-Oct        | 350.00          | 3.5        |

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**TOTAL (Trade Date):**

**123,370.68**

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

| Type   | Date  | Account                         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,    | 10/25 | IRIDIAN ASSET MGMT. (IRAM294)   | 036  | DRC    | S   | 30     | 38.01 | n/a | n/a      | 1.50 5.0    |
| AO,CXL | 10/25 | IRIDIAN ASSET MGMT. (IRAM187)   | 036  | DRC    | S   | 30     | 38.01 | n/a | n/a      | 1.50 5.0    |
| AO,CRT | 10/25 | ADAGE CAPITAL MGMT (ADAGCSFB)   | 030  | JCP    | S   | 38,200 | 32.78 | n/a | 11-Oct   | 1146.00 3.0 |
| AO,CXL | 10/25 | ADAGE CAPITAL MGMT (ADAGLONG)   | 030  | JCP    | S   | 38,200 | 32.78 | n/a | 11-Oct   | 1146.00 3.0 |
| CRT    | 10/26 | SCHOTTENFELD ASSOC (SCHOKOYOTE) | 041  | PG     | B   | 20,000 | 62.72 | n/a | 26-Oct   | 600.00 3.0  |
| AO,CXL | 10/25 | COBALT (COBAGS)                 | 041  | SLM    | B   | 900    | 11.65 | n/a | 20-Oct   | 45.00 5.0   |
| AO,CRT | 10/25 | COBALT (COBAGS)                 | 041  | SLM    | B   | 700    | 11.65 | n/a | 20-Oct   | 35.00 5.0   |
| AO,CXL | 10/25 | COBALT (COBAUBS)                | 041  | SLM    | B   | 55,600 | 11.65 | n/a | 20-Oct   | 2780.00 5.0 |
| AO,CRT | 10/25 | COBALT (COBAUBS)                | 041  | SLM    | B   | 55,800 | 11.65 | n/a | 20-Oct   | 2790.00 5.0 |

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|-------------------------------|---------------|
| <b>TOTAL (AO, CXL, CRT) :</b> | <b>600.00</b> |
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|----------------------|------------|
| TOTAL (Trade Date) : | 123,370.68 |
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|                        |        |
|------------------------|--------|
| TOTAL (AO, CXL, CRT) : | 600.00 |
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| <b>TOTAL (RUN DATE) / NFS:</b> | <b>123,970.68</b> |
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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