



Daily Compliance Activity Report

Trade Date: 08/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	ADM	B	20,000	30.05	n/a	3-Aug	1,000.00	5.0
SCOPUS FUND	041	AN	SS	25,000	23.05	n/a	4-Aug	1,250.00	5.0
EXIS CAPITAL	044	ARO	SS	10,000	23.91	n/a	6-Aug	500.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	22.09	n/a	n/a	400.00	4.0
HOLDEN CAPITAL MGMT	035	CAGC	SS	10,000	16.31	n/a	n/a	500.00	5.0
HOPLITE MGMT	025	CBS	B	390,000	14.15	n/a	n/a	15,600.00	4.0
SENATOR INVESTMENT GROUP	036	CHRW	SS	75,000	64.82	n/a	n/a	2,250.00	3.0
CATAPULT	040	CMP	B	4,496	71.76	n/a	n/a	224.80	5.0
IRIDIAN ASSET MGMT.	036	CNX	B	8,590	37.26	n/a	n/a	429.50	5.0
GALT INVESTMENT	041	CROX	S	30,000	13.09	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	CSX	B	13,310	50.15	n/a	n/a	665.50	5.0
CATAPULT	040	ECL	B	4,735	48.07	n/a	27-Jul	236.75	5.0
KLEINHEINZ CAP PART	031	EGO	B	50,000	17.70	n/a	n/a	2,500.00	5.0
SMITH MGMT LLC	029	FWS	S	100,000	4.38	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	F	C	50,000	12.29	n/a	4-Aug	2,500.00	5.0
OZ MGMT	040	F	S	74,140	12.00	n/a	4-Aug	2,224.20	3.0
ROSEDALE CAPITAL	046	F	B	30,000	11.97	n/a	4-Aug	1,500.00	5.0
SCOPUS FUND	041	F	B	50,000	12.13	n/a	4-Aug	2,500.00	5.0
SMITH MGMT LLC	029	F	S	1,000,000	11.99	n/a	4-Aug	30,000.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	25.42	n/a	n/a	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	GES	S	31,004	37.59	n/a	19-Jul	930.12	3.0
EPOCH INV MGMT	030	GLW	S	300,000	17.50	n/a	28-Jul	9,000.00	3.0
IRIDIAN ASSET MGMT.	036	GLW	SS	64,130	17.39	n/a	28-Jul	3,206.50	5.0
MTB INV ADV	034	GSIC	S	9,325	22.26	n/a	n/a	466.25	5.0
SIGMA CAPITAL ASSOCIATES	041	HD	SS	100,000	27.54	n/a	20-Jul	3,500.00	3.5
IRIDIAN ASSET MGMT.	036	HPQ	S	26,620	40.13	n/a	n/a	1,331.00	5.0
SONTERRA CAP	041	HUN	B	30,000	9.10	n/a	n/a	900.00	3.0
IRIDIAN ASSET MGMT.	036	IP	B	21,410	21.73	n/a	28-Jul	1,070.50	5.0
JETSTREAM GLOBAL FUND LP	065	IP	S	500,000	21.82	n/a	28-Jul	25,000.00	5.0
S.A.C. CAP/ORENSTEIN	044	ITT	B	25,000	43.90	n/a	30-Apr	875.00	3.5
BUCK CAPITAL MGMT	001	JAH	S	90,000	26.60	n/a	n/a	3,600.00	4.0
FRONTIER	048	JBL	S	252,970	11.73	n/a	n/a	10,118.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	JCI	B	25,000	28.06	n/a	23-Jul	1,250.00	5.0
ENTRUST CAPITAL	040	LEG	B	28,300	19.98	n/a	n/a	1,415.00	5.0
CATAPULT	040	LMT	B	5,575	72.46	n/a	28-Jul	278.75	5.0
T. ROWE PRICE	033	LPX	B	112,387	6.69	n/a	5-Aug	2,247.74	2.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	25.28	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	6,000	27.20	n/a	12-Aug	240.00	4.0
TRELLUS PARTNERS LP	028	LVS	SS	20,000	27.99	n/a	12-Aug	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	MOT	B	17,460	7.93	n/a	n/a	873.00	5.0
MELLON/BANK OF NEW YORK	046	MRVL	S	34,985	14.40	n/a	n/a	1,749.25	5.0
BERMAN CAPITAL MGMT	046	MSFT	B	40,000	24.49	n/a	n/a	1,200.00	3.0
EXIS CAPITAL	044	M	B	30,000	20.13	n/a	12-Aug	1,500.00	5.0
CATAPULT	040	NOC	B	6,149	56.75	n/a	30-Jul	307.45	5.0
THIRD COAST CAPITAL	035	OSIS	B	10,000	27.43	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	OSK	B	10,000	27.57	n/a	n/a	500.00	5.0
THOMAS WEISEL ASSET MGMT	035	PMCS	S	11,932	7.30	n/a	n/a	357.96	3.0
CATAPULT	040	PPG	B	4,236	66.67	n/a	16-Jul	211.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILE	085	PRGO	B	25,000	59.65	n/a	12-Aug	1,000.00	4.0
KENNEDY CAPITAL	046	PSUN	S	100,000	4.00	n/a	n/a	2,000.00	2.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	18,900	50.00	n/a	19-Jul	567.00	3.0
MTB INV ADV	034	PWER	S	7,225	10.97	n/a	n/a	361.25	5.0
BUCK CAPITAL MGMT	001	RL	B	30,000	80.78	n/a	5-Aug	1,200.00	4.0
PERRY PARTNERS	085	RVBD	SS	25,000	32.77	n/a	n/a	1,000.00	4.0
Õ Michael Ehrlich		SD	B	100	4.7370	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		SD	B	100	4.7380	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		SD	B	100	4.7390	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		SD	B	100	4.7390	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		SD	B	200	4.7390	n/a	n/a	0.00	0.0
CATAPULT	040	SHW	B	3,359	69.31	n/a	22-Jul	167.95	5.0
CATAPULT	040	SIVB	B	5,000	40.47	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	SKS	B	50,000	7.92	n/a	n/a	2,500.00	5.0
PERRY PARTNERS	085	SKX	SS	25,000	28.62	n/a	n/a	1,000.00	4.0
CASTLEROCK	040	SSCC	B	329,323	18.42	n/a	3-Aug	13,172.92	4.0
IRIDIAN ASSET MGMT.	036	STX	B	33,710	11.00	n/a	n/a	1,685.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	TDC	B	31,100	30.06	n/a	n/a	1,555.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TGI	B	5,000	67.33	n/a	n/a	250.00	5.0
PERRY PARTNERS	085	TIBX	SS	150,000	13.05	n/a	n/a	6,000.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	86,600	17.79	n/a	27-Jul	3,464.00	4.0
1798 CAP/LOMBARD ASSET	040	TKR	B	2,000	33.42	n/a	n/a	100.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TXI	S	20,000	32.15	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	T	B	19,550	26.77	n/a	n/a	977.50	5.0
AVESTA CAP	229	VALE	B	100,000	27.38	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	WRC	S	14,900	42.01	n/a	6-Aug	447.00	3.0
TOTAL (Trade Date) :								185,407.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/11	EXIS CAPITAL (EXISDEUTC)	044	ARO	B	3,100	24.00	n/a	6-Aug	155.00 5.0
AO,CXL	08/11	EXIS CAPITAL (EXISCLOSED)	044	ARO	B	3,100	24.00	n/a	6-Aug	155.00 5.0
AO,	08/10	ROTHSCHILD ASSET (ROTH384)	040	ATO	B	400	29.08	n/a	n/a	16.00 4.0
AO,CXL	08/10	ROTHSCHILD ASSET (ROTH3841)	040	ATO	B	400	29.08	n/a	n/a	16.00 4.0
AO,CXL	08/11	MTB INV ADV (MTBIMAIN O)	034	AXL	S	550	9.23	n/a	4-Aug	27.50 5.0
AO,CRT	08/11	MTB INV ADV (MTBIMAIN O)	034	AXL	S	550	9.23	n/a	4-Aug	22.00 4.0
AO,CXL	08/11	MTB INV ADV (MTBISMCAPI)	034	AXL	S	15,000	9.23	n/a	4-Aug	750.00 5.0
AO,CRT	08/11	MTB INV ADV (MTBISMCAPI)	034	AXL	S	15,000	9.23	n/a	4-Aug	600.00 4.0
CRT	08/12	SMITH MGMT LLC (SMITJPMORG)	029	FWS	S	100,000	4.38	n/a	n/a	3000.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL1454)	084	LTXC	S	5,600	2.16	n/a	n/a	168.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL1616)	084	LTXC	S	16,200	2.16	n/a	n/a	486.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL470)	084	LTXC	S	3,900	2.16	n/a	n/a	117.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL19)	084	LTXC	S	31,200	2.16	n/a	n/a	936.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL858)	084	LTXC	S	27,200	2.16	n/a	n/a	816.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL72)	084	LTXC	S	24,400	2.16	n/a	n/a	732.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL73)	084	LTXC	S	3,600	2.16	n/a	n/a	108.00 3.0
AO,	08/11	NICOLAS APPLGATE (APPL1237)	084	LTXC	S	37,900	2.16	n/a	n/a	1137.00 3.0
AO,	08/11	VISIUM/BALY BOBBY (VISBMSBOB)	044	SBUX	B	25,000	24.59	n/a	22-Jul	1250.00 5.0
TOTAL (AO, CXL, CRT) :										8,594.50

TOTAL (Trade Date):	185,407.99
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TOTAL (RUN DATE) / NFS:	194,002.49
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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