



Daily Compliance Activity Report

Trade Date: 10/19/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	ANF	SS	15,000	43.39	n/a	11-Oct	450.00	3.0
RBC CAPITAL MARKETS	040	ANF	B	30,000	43.84	n/a	11-Oct	1,200.00	4.0
CATAPULT	040	ARM	B	25,000	16.11	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	277,100	26.67	n/a	11-Oct	11,084.00	4.0
Ñ Nilsa Vazquez		BAC	B	500	12.0190	n/a	19-Oct	0.00	0.0
APEX CAPITAL MGMT.	261	BBY	SS	147,000	42.12	n/a	n/a	5,880.00	4.0
EPOCH INV MGMT	030	CAM	S	350	41.94	n/a	n/a	10.50	3.0
FEDERATED INV/KAUFMAN	029	CBST	B	100,000	23.69	n/a	n/a	5,500.00	5.5
EPOCH INV MGMT	030	COL	S	250	59.51	n/a	12-Oct	7.50	3.0
RBC CAPITAL MARKETS	040	COST	SS	15,000	62.26	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	CPO	S	450	39.18	n/a	n/a	13.50	3.0
ROSEDALE CAPITAL	046	CSCO	S	10,000	23.05	n/a	n/a	500.00	5.0
ACK ASSET	028	DAN	S	95,000	12.96	n/a	19-Oct	2,850.00	3.0
CONIFER/ISF	025	DCTH	S	5,000	8.55	n/a	n/a	250.00	5.0
GRUSS CAPITAL	025	DEI	S	5,000	18.40	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	DELL	S	4,000	14.58	n/a	n/a	120.00	3.0
CATAPULT	040	DHR	SS	10,000	41.35	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	DPZ	SS	15,000	15.33	n/a	19-Oct	600.00	4.0
EGS ASSOCIATES LP	091	DPZ	SS	4,500	15.39	n/a	19-Oct	270.00	6.0
EPOCH INV MGMT	030	DRC	S	300	38.01	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	DRQ	S	200	65.70	n/a	n/a	6.00	3.0
BALYASNY ASSET MGMT	044	EAT	C	20,000	19.36	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	084	ENTG	B	129,500	5.02	n/a	n/a	3,885.00	3.0
KACELA CAPITAL	034	EXPE	S	15,500	26.70	n/a	n/a	620.00	4.0
MELLON/BANK OF NEW YORK	046	FFIV	S	27,690	90.29	n/a	n/a	1,384.50	5.0
NORTHWESTERN MUTUAL LIFE	047	FFIV	B	16,150	91.14	n/a	n/a	646.00	4.0
CONIFER/ISF	025	FINL	B	15,000	15.92	n/a	n/a	750.00	5.0
GRANITE CAPITAL	028	F	SS	30,000	13.45	n/a	19-Oct	1,500.00	5.0
MILLENIUM PARTNERS	028	F	B	50,000	13.40	n/a	19-Oct	2,000.00	4.0
OZ MGMT	040	F	SS	100,000	13.45	n/a	19-Oct	3,000.00	3.0
SCOPUS FUND	041	F	B	75,000	13.43	n/a	19-Oct	3,750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	42.08	n/a	18-Oct	3,000.00	3.0
RBC CAPITAL MARKETS	040	GIS	B	20,000	37.10	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRUSS CAPITAL	025	GLD	B	20,000	130.74	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	GPC	S	450	47.34	n/a	n/a	13.50	3.0
GRUSS CAPITAL	025	IYR	SS	4,000	55.49	n/a	n/a	120.00	3.0
BALYASNY ASSET MGMT	044	JNY	B	20,000	19.53	n/a	18-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.72	n/a	7-Oct	1,500.00	3.0
ASCEND PARTNERS	033	LMT	C	19,000	69.15	n/a	12-Oct	760.00	4.0
BALYASNY ASSET MGMT	044	LTD	S	40,000	28.52	n/a	n/a	2,000.00	5.0
JMP ASSET MGMT	210	LTM	SS	10,500	39.93	n/a	n/a	525.00	5.0
MTB INV ADV	034	LTM	S	3,100	40.01	n/a	n/a	155.00	5.0
LISTED ERR	099	LTM	B	200	39.87	n/a	n/a	0.00	0.0
LISTED ERR	099	LTM	S	200	39.75	n/a	n/a	0.00	0.0
MTB INV ADV	034	LULU	S	21,800	43.17	n/a	n/a	1,090.00	5.0
LISTED ERR	099	LULU	B	200	43.51	n/a	n/a	0.00	0.0
LISTED ERR	099	LULU	S	200	43.17	n/a	n/a	0.00	0.0
FEDERATED INV/KAUFMAN	029	LVS	B	51,435	36.59	n/a	8-Oct	2,828.93	5.5
EPOCH INV MGMT	030	MAS	S	1,250	10.87	n/a	n/a	37.50	3.0
RBC CAPITAL MARKETS	040	MON	S	15,000	57.56	n/a	11-Oct	600.00	4.0
BALYASNY ASSET MGMT	044	MW	B	30,000	24.17	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	M	B	10,000	23.00	n/a	11-Oct	500.00	5.0
CHART WELL ADV	028	NTSP	S	15,000	12.78	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	NYX	S	750	29.82	n/a	n/a	22.50	3.0
CATAPULT	040	OCLR	SS	4,973	14.45	n/a	n/a	198.92	4.0
CATAPULT	040	OCLR	S	53,177	14.45	n/a	n/a	2,127.08	4.0
CATAPULT	040	OI	SS	10,000	28.85	n/a	n/a	400.00	4.0
WEISS PECK	040	PAG	B	25,000	13.47	n/a	19-Oct	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	PH	SS	20,000	76.63	n/a	4-Aug	600.00	3.0
MERRILL ASSET/BLACKROCK	266	PJC	B	24,300	30.40	n/a	n/a	972.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	23.67	n/a	19-Oct	2,500.00	5.0
MORTAR ROCK	033	PKG	B	15,000	23.43	n/a	19-Oct	600.00	4.0
TRELLUS PARTNERS LP	028	PKG	B	10,000	23.25	n/a	19-Oct	500.00	5.0
KACELA CAPITAL	034	RAX	S	17,264	22.31	n/a	n/a	690.56	4.0
SENATOR INVESTMENT GROUP	036	RKT	B	50,000	53.80	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	RLI	B	20,100	58.89	n/a	n/a	804.00	4.0
CATAPULT	040	RPM	SS	10,000	20.18	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	RSG	B	25,000	30.24	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	SHP	S	40,000	13.73	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	42.15	n/a	n/a	400.00	4.0
SAXON WOODS ADVISORS	242	TNA	S	5,800	52.68	n/a	n/a	232.00	4.0
CHART WELL ADV	028	URBN	S	10,000	30.20	n/a	n/a	400.00	4.0
WATERFRONT CAP	028	URI	S	6,303	16.27	n/a	n/a	252.12	4.0
BMO NESBITT BURNS	041	USG	B	7,000	11.97	n/a	18-Oct	350.00	5.0
BROADARCH CAP/OLD NEWC	070	UTX	S	5,100	73.22	n/a	n/a	204.00	4.0
EPOCH INV MGMT	030	V	S	250	78.94	n/a	4-Oct	7.50	3.0
EPOCH INV MGMT	030	WAB	S	300	47.55	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	WFT	S	550	17.35	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	WM	S	550	36.27	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	WRC	S	350	55.85	n/a	18-Oct	10.50	3.0
BALYASNY ASSET MGMT	044	WSM	C	20,000	32.20	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	YHOO	S	900	15.67	n/a	n/a	27.00	3.0

TOTAL (Trade Date):

85,156.11

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/19	EGS ASSOCIATES LP (EGASBANC O)	091	DPZ	SS	4,500	15.39	n/a	19-Oct	270.00 6.0
AO,CXL	10/18	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	50,000	25.56	n/a	n/a	2500.00 5.0
AO,CRT	10/18	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	50,000	25.56	n/a	n/a	2000.00 4.0
AO,CXL	10/18	MESIROW (MROWHOFF)	031	LPS	S	1,450	26.68	n/a	n/a	58.00 4.0
AO,CRT	10/18	MESIROW (MROWHOFF)	031	LPS	S	1,450	26.68	n/a	n/a	50.75 3.5
AO,CXL	10/18	MESIROW (MROWENG891)	031	LPS	S	766	26.68	n/a	n/a	30.64 4.0
AO,CRT	10/18	MESIROW (MROWENG891)	031	LPS	S	766	26.68	n/a	n/a	26.81 3.5

TOTAL (AO, CXL, CRT) :**-241.08**

TOTAL (Trade Date) :

85,156.11

TOTAL (AO, CXL, CRT) :

-241.08

TOTAL (RUN DATE) / NFS:**84,915.03**

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