



## Daily Compliance Activity Report

Trade Date: 11/18/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	ADM	S	10,000	29.64	n/a	2-Nov	500.00	5.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>ADM</b>	<b>B</b>	<b>3,000</b>	<b>29.76</b>	<b>n/a</b>	<b>2-Nov</b>	<b>120.00</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	AGG	S	6,675	106.97	n/a	n/a	333.75	5.0
MTB INV ADV	034	AMG	S	2,050	88.68	n/a	2-Mar	102.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>40,000</b>	<b>25.69</b>	<b>n/a</b>	<b>5-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	AXL	S	25,000	11.37	n/a	1-Nov	1,250.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.56	n/a	n/a	800.00	4.0
WALL STREET CAPITAL	084	BWA	B	16,100	60.45	n/a	27-Oct	724.50	4.5
DIAMONDBACK CAP MGMT	232	BXP	B	50,000	84.00	n/a	n/a	2,500.00	5.0
ENTRUST CAPITAL	040	CCE	S	29,000	25.49	n/a	n/a	1,450.00	5.0
APEX CAPITAL MGMT.	261	CHS	S	86,500	11.44	n/a	5-Feb	3,460.00	4.0
MTB INV ADV	034	CNS	S	19,650	25.46	n/a	n/a	982.50	5.0
TRUSTCO/SUNTRUST	040	COF	B	42,400	38.19	n/a	17-Nov	1,484.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>25,000</b>	<b>53.56</b>	<b>n/a</b>	<b>27-Oct</b>	<b>1,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	2,600	91.00	n/a	16-Nov	104.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	CTB	SS	20,000	21.21	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	EEM	B	9,000	46.52	n/a	n/a	450.00	5.0
RBC CAPITAL MARKETS	040	EMN	B	20,000	78.78	n/a	n/a	800.00	4.0
MTB INV ADV	034	EVR	S	5,150	31.24	n/a	n/a	257.50	5.0
MTB INV ADV	034	FCFS	S	3,050	28.98	n/a	n/a	152.50	5.0
CAXTON PART	040	FDX	B	10,000	87.48	n/a	n/a	350.01	3.5
WHITE PINE CAPITAL	030	FL	B	24,300	16.69	n/a	15-Nov	1,215.00	5.0
PECONIC PARTNERS	036	FNSR	B	50,000	19.02	n/a	n/a	2,500.00	5.0
O CAPITAL MGMT	029	FOR	B	2,000	17.68	n/a	3-Nov	100.00	5.0
LEVEL GLOBAL SHARED ACCT	257	FOSL	S	50,000	69.09	n/a	n/a	1,500.00	3.0
ROARING BLUE LION MGMT	012	FRED	SS	2,700	12.46	n/a	n/a	108.00	4.0
CIRCLE T/SES PART	035	F	SS	25,000	16.33	n/a	18-Nov	1,000.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>F</b>	<b>SS</b>	<b>7,000</b>	<b>16.32</b>	<b>n/a</b>	<b>18-Nov</b>	<b>420.00</b>	<b>6.0</b>
OZ MGMT	040	F	SS	150,000	16.40	n/a	18-Nov	4,500.00	3.0
TROUBH PART	067	F	B	25,000	16.05	n/a	18-Nov	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>34.12</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	GE	B	32,000	16.09	n/a	n/a	1,600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	GE	B	25,000	16.05	n/a	n/a	1,250.00	5.0
GRYPHON CAPITAL MGMT	084	GLD	B	75,000	132.28	n/a	n/a	2,250.00	3.0
SAC COHEN	044	GMCR	B	150,000	31.06	n/a	n/a	5,250.00	3.5
NICOLAS APPLGATE	084	GM	S	37,500	35.26	n/a	1-Feb	1,500.00	4.0
PERSHING SQUARE	029	GM	B	2,000,000	35.62	n/a	1-Feb	80,000.00	4.0
CAERUS GLOBAL	041	HBI	S	25,000	26.26	n/a	28-Oct	1,000.00	4.0
KLEINHEINZ CAP PART	031	HBI	B	25,000	26.30	n/a	28-Oct	1,250.00	5.0
OZ MGMT	040	HD	C	50,000	30.80	n/a	16-Nov	1,500.00	3.0
SONTERRA CAP	041	HUN	S	50,000	13.49	n/a	n/a	2,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	HXL	B	12,399	17.05	n/a	n/a	371.97	3.0
PECONIC PARTNERS	036	INTC	B	100,000	21.22	n/a	n/a	5,000.00	5.0
MELLON/BANK OF NEW YORK	046	IWF	S	3,600	54.80	n/a	n/a	180.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>140,000</b>	<b>36.95</b>	<b>n/a</b>	<b>n/a</b>	<b>5,600.00</b>	<b>4.0</b>
BRASADA	031	KEG	B	5,000	10.07	n/a	28-Oct	150.00	3.0
RBC CAPITAL MARKETS	040	KSS	B	15,000	53.78	n/a	18-Nov	600.00	4.0
THE JAY GOLDMAN	028	KSS	B	10,000	53.84	n/a	18-Nov	400.00	4.0
MELLON/BANK OF NEW YORK	046	LEA	S	40,400	87.77	n/a	29-Oct	2,020.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	LTD	S	9,835	34.05	n/a	n/a	491.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>60,000</b>	<b>38.77</b>	<b>n/a</b>	<b>2-Nov</b>	<b>2,400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>10,000</b>	<b>27.26</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
GALT INVESTMENT	041	MW	B	15,000	27.35	n/a	n/a	750.00	5.0
NICOLAS APPLGATE	084	NOV	S	31,600	62.75	n/a	n/a	632.00	2.0
ROTHSCHILD ASSET	040	OMG	B	26,713	38.13	n/a	n/a	1,068.52	4.0
LEVEL GLOBAL SHARED ACCT	257	ORCL	B	300,000	28.45	n/a	n/a	9,000.00	3.0
ROARING BLUE LION MGMT	012	OXM	SS	1,500	23.76	n/a	n/a	60.00	4.0
RAINIER INV MGMT	035	PCAR	B	209,720	53.47	n/a	29-Oct	8,388.80	4.0
CATAPULT	040	PNC	SS	7,716	56.46	n/a	n/a	308.64	4.0
KLEINHEINZ CAP PART	031	QQQQ	B	100,000	52.58	n/a	n/a	5,000.00	5.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.88	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	RCL	B	64,800	42.52	n/a	n/a	3,240.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ROST	S	50,000	63.33	n/a	n/a	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	SHY	B	10,625	84.16	n/a	n/a	531.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>20.64</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	SPLS	B	25,674	20.79	n/a	n/a	1,026.96	4.0
IRIDIAN ASSET MGMT.	036	TCK	S	3,730	49.44	n/a	n/a	186.50	5.0
JP MORGAN VENTURES	046	TJX	SS	20,000	45.90	n/a	17-Nov	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	34.70	n/a	n/a	1,500.00	3.0
HOLLIS CAPITAL	033	TRMB	B	7,000	37.04	n/a	n/a	350.00	5.0
MELLON/BANK OF NEW YORK	046	VSI	S	6,800	30.87	n/a	n/a	340.00	5.0
Õ Nilsa Vazquez		WYNN	B	100	108.0820	n/a	10-Nov	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	XRT	C	164,000	45.85	n/a	n/a	4,920.00	3.0
KLEINHEINZ CAP PART	031	YHOO	B	40,000	17.08	n/a	n/a	2,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>190,430.65</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/18	EGS ASSOCIATES LP (EGASBANC O)	091	F	SS	7,000	16.32	n/a	18-Nov	420.00 6.0
AO,CXL	11/17	ONE EAST CAP ADV LP (ONEEGS)	048	HRB	B	10,000	12.52	n/a	n/a	500.00 5.0
AO,CRT	11/17	ONE EAST CAP ADV LP (ONEEGS)	048	HRB	B	10,000	12.52	n/a	n/a	300.00 3.0
AO,	11/17	COLUMBUS CIRCLE (COLCBKON08)	036	MDR	B	10	16.94	n/a	n/a	0.40 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR74)	036	MDR	B	45	16.94	n/a	n/a	1.80 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR73)	036	MDR	B	26	16.94	n/a	n/a	1.04 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC0200)	036	MDR	B	755	16.94	n/a	n/a	30.20 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCBKON07)	036	MDR	B	10	16.94	n/a	n/a	0.40 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4900)	036	MDR	B	733	16.94	n/a	n/a	29.32 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCBKON12)	036	MDR	B	11	16.94	n/a	n/a	0.44 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR75)	036	MDR	B	52	16.94	n/a	n/a	2.08 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC3950)	036	MDR	B	57	16.94	n/a	n/a	2.28 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC6600)	036	MDR	B	7,860	16.94	n/a	n/a	314.40 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR69)	036	MDR	B	36	16.94	n/a	n/a	1.44 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCATLT4)	036	MDR	B	167	16.94	n/a	n/a	6.68 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR70)	036	MDR	B	31	16.94	n/a	n/a	1.24 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR71)	036	MDR	B	53	16.94	n/a	n/a	2.12 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR78)	036	MDR	B	29	16.94	n/a	n/a	1.16 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR64)	036	MDR	B	86	16.94	n/a	n/a	3.44 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR65)	036	MDR	B	25	16.94	n/a	n/a	1.00 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR66)	036	MDR	B	45	16.94	n/a	n/a	1.80 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR68)	036	MDR	B	30	16.94	n/a	n/a	1.20 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC3940)	036	MDR	B	69	16.94	n/a	n/a	2.76 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCLBR60)	036	MDR	B	42	16.94	n/a	n/a	1.68 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCBROO62)	036	MDR	B	29	16.94	n/a	n/a	1.16 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCL0058)	036	MDR	B	60	16.94	n/a	n/a	2.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/17	COLUMBUS CIRCLE (COLCCLB052)	036	MDR	B	14	16.94	n/a	n/a	0.56 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB051)	036	MDR	B	19	16.94	n/a	n/a	0.76 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLNC04)	036	MDR	B	1,164	16.94	n/a	n/a	46.56 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4026)	036	MDR	B	504	16.94	n/a	n/a	20.16 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB040)	036	MDR	B	53	16.94	n/a	n/a	2.12 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB042)	036	MDR	B	33	16.94	n/a	n/a	1.32 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB043)	036	MDR	B	9	16.94	n/a	n/a	0.36 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB049)	036	MDR	B	30	16.94	n/a	n/a	1.20 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB038)	036	MDR	B	38	16.94	n/a	n/a	1.52 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLB037)	036	MDR	B	33	16.94	n/a	n/a	1.32 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC0260)	036	MDR	B	1,436	16.94	n/a	n/a	57.44 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR33)	036	MDR	B	23	16.94	n/a	n/a	0.92 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR34)	036	MDR	B	34	16.94	n/a	n/a	1.36 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR23)	036	MDR	B	45	16.94	n/a	n/a	1.80 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR21)	036	MDR	B	41	16.94	n/a	n/a	1.64 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR19)	036	MDR	B	101	16.94	n/a	n/a	4.04 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR18)	036	MDR	B	44	16.94	n/a	n/a	1.76 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC6800)	036	MDR	B	147	16.94	n/a	n/a	5.88 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR8)	036	MDR	B	34	16.94	n/a	n/a	1.36 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR7)	036	MDR	B	81	16.94	n/a	n/a	3.24 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR5)	036	MDR	B	74	16.94	n/a	n/a	2.96 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCBKON2)	036	MDR	B	41	16.94	n/a	n/a	1.64 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4460)	036	MDR	B	7,755	16.94	n/a	n/a	310.20 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4430)	036	MDR	B	3,584	16.94	n/a	n/a	143.36 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC2100)	036	MDR	B	7,860	16.94	n/a	n/a	314.40 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC5370)	036	MDR	B	2,149	16.94	n/a	n/a	85.96 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4690)	036	MDR	B	40	16.94	n/a	n/a	1.60 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4680)	036	MDR	B	514	16.94	n/a	n/a	20.56 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC4700)	036	MDR	B	545	16.94	n/a	n/a	21.80 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC1681)	036	MDR	B	724	16.94	n/a	n/a	28.96 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/17	COLUMBUS CIRCLE (COLC1400)	036	MDR	B	320	16.94	n/a	n/a	12.80 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC6630)	036	MDR	B	378	16.94	n/a	n/a	15.12 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLNC01)	036	MDR	B	336	16.94	n/a	n/a	13.44 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLNC02)	036	MDR	B	183	16.94	n/a	n/a	7.32 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR26)	036	MDR	B	55	16.94	n/a	n/a	2.20 4.0
AO,	11/17	COLUMBUS CIRCLE (COLC6810)	036	MDR	B	78	16.94	n/a	n/a	3.12 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR28)	036	MDR	B	85	16.94	n/a	n/a	3.40 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR29)	036	MDR	B	48	16.94	n/a	n/a	1.92 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR31)	036	MDR	B	18	16.94	n/a	n/a	0.72 4.0
AO,	11/17	COLUMBUS CIRCLE (COLCCLBR24)	036	MDR	B	30	16.94	n/a	n/a	1.20 4.0

**TOTAL (AO, CXL, CRT) :** **1,778.44**

TOTAL (Trade Date): 190,430.65

TOTAL (AO, CXL, CRT): 1,778.44

**TOTAL (RUN DATE) / NFS:** **192,209.09**



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