



Daily Compliance Activity Report

Trade Date: 10/12/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	S	1,200	53.56	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	AET	S	1,850	31.09	n/a	n/a	55.50	3.0
HARBORWATCH/DIAMBACK	232	AKS	B	25,000	14.41	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	AMAG	SS	6,000	20.12	n/a	n/a	240.00	4.0
GCORE MANAGEMENT	041	AMD	B	50,000	7.35	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	AMP	S	1,900	49.97	n/a	n/a	57.00	3.0
EPOCH INV MGMT	030	AMTD	S	4,250	16.30	n/a	n/a	127.50	3.0
WATERFRONT CAP	028	AMT	SS	50,000	50.12	n/a	n/a	2,000.00	4.0
CATAPULT	040	ASH	SS	5,000	52.80	n/a	8-Oct	200.00	4.0
THIRD COAST CAPITAL	035	AXL	S	25,000	8.86	n/a	11-Oct	1,250.00	5.0
LISTED ERR	099	AXL	B	5,000	8.87	n/a	11-Oct	0.00	0.0
LISTED ERR	099	AXL	S	5,000	8.87	n/a	11-Oct	0.00	0.0
EPOCH INV MGMT	030	AXP	S	1,400	38.65	n/a	7-Oct	42.00	3.0
EPOCH INV MGMT	030	BA	S	1,300	70.44	n/a	12-Oct	39.00	3.0
EPOCH INV MGMT	030	BEN	S	950	115.65	n/a	2-Mar	28.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC ADV/LEE	044	BHI	B	43,300	44.61	n/a	n/a	1,515.50	3.5
BUCK CAPITAL MGMT	001	BJ	B	10,000	43.60	n/a	n/a	400.00	4.0
MATRIX ASSET ADV.	091	BMV	B	2,000	27.16	n/a	n/a	80.00	4.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.13	n/a	n/a	800.00	4.0
SCHOTTENFELD ASSOC	041	BWA	B	7,025	51.46	n/a	12-Oct	210.75	3.0
SCHOTTENFELD ASSOC	041	CHS	B	3,496	11.12	n/a	5-Feb	104.88	3.0
SCHOTTENFELD ASSOC	041	CHS	S	3,496	11.20	n/a	5-Feb	104.88	3.0
EPOCH INV MGMT	030	CL	S	500	75.16	n/a	30-Sep	15.00	3.0
EPOCH INV MGMT	030	CMCSK	S	4,700	17.04	n/a	n/a	141.00	3.0
EPOCH INV MGMT	030	COP	S	600	59.73	n/a	n/a	18.00	3.0
ROTHSCHILD ASSET	040	CPX	B	53,310	23.32	n/a	n/a	2,132.40	4.0
METROPOLITAN CAPITAL	044	DAN	S	14,900	13.24	n/a	2-Aug	745.00	5.0
GRUSS CAPITAL	025	DBA	B	10,000	28.51	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	DD	S	1,500	46.38	n/a	23-Sep	45.00	3.0
EPOCH INV MGMT	030	DELL	S	3,700	13.97	n/a	n/a	111.00	3.0
EPOCH INV MGMT	030	DHR	S	1,700	41.49	n/a	n/a	51.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KADE CAPITAL LLC	028	DLTR	B	7,500	49.88	n/a	19-Aug	375.00	5.0
EPOCH INV MGMT	030	DVA	S	1,300	70.91	n/a	n/a	39.00	3.0
EPOCH INV MGMT	030	DVN	S	750	66.95	n/a	30-Sep	22.50	3.0
GRUSS CAPITAL	025	DVN	B	10,000	66.40	n/a	30-Sep	300.00	3.0
TRUST CO/COWEN/CALF.	040	DVN	B	59,685	66.44	n/a	30-Sep	2,984.25	5.0
Õ Doug Rogers		FOR	S	250	17.5900	n/a	26-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	F	C	50,000	13.72	n/a	4-Oct	2,500.00	5.0
ROSEDALE CAPITAL	046	F	S	60,000	13.80	n/a	4-Oct	3,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	41.45	n/a	26-Aug	4,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	GE	B	20,140	17.20	n/a	n/a	805.60	4.0
SAC CAP/ROSEN FOR BOBBY	044	GE	S	500,000	17.19	n/a	n/a	17,500.00	3.5
RBC CAPITAL MARKETS	040	GPS	B	25,000	18.43	n/a	n/a	1,000.00	4.0
OZ MGMT	040	HD	SS	118,466	31.36	n/a	7-Oct	3,553.98	3.0
SAC CAPITAL/M GRONET	030	HD	SS	10,000	31.31	n/a	7-Oct	350.00	3.5
HARRIER HAWK MGMT	028	IP	B	42,500	22.73	n/a	7-Oct	1,700.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	10,000	22.36	n/a	7-Oct	300.00	3.0
TRELLUS PARTNERS LP	028	IP	B	20,000	22.28	n/a	7-Oct	1,000.00	5.0
CAMBIAR CAP	046	KG	S	145,320	14.15	n/a	12-Oct	5,812.80	4.0
CATAPULT	040	KRA	S	10,000	30.41	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	KSS	SS	35,000	53.07	n/a	11-Oct	1,225.00	3.5
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.81	n/a	7-Oct	1,500.00	3.0
AVESTA CAP	229	LOW	SS	200,000	22.11	n/a	16-Aug	6,000.00	3.0
BALYASNY ASSET MGMT	044	LVS	SS	25,000	39.08	n/a	8-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	MGM	S	25,000	13.65	n/a	8-Oct	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	MSCI	B	26,200	34.81	n/a	n/a	1,048.00	4.0
SAC ADV/LEE	044	NOV	S	100,000	46.79	n/a	n/a	3,500.00	3.5
NEW JERSEY DIV OF INV.	030	ODP	B	25,000	4.95	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	23.16	n/a	7-Oct	3,750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	29,300	62.59	n/a	9-Sep	879.00	3.0
BUCK CAPITAL MGMT	001	RL	B	20,000	93.40	n/a	5-Aug	800.00	4.0
GRUSS CAPITAL	025	SLB	B	10,000	62.61	n/a	n/a	300.00	3.0
BIXBY LLC	070	SSCC	S	1,800	20.35	n/a	7-Oct	72.00	4.0
IVORY CAPITAL	034	TXN	SS	93,800	28.69	n/a	n/a	4,690.00	5.0
BUCK CAPITAL MGMT	001	UA	B	20,000	46.38	n/a	28-Jul	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	UNP	B	11,200	83.44	n/a	n/a	560.00	5.0
S.A.C. CAP/ORENSTEIN	044	URS	B	50,000	38.81	n/a	n/a	1,750.00	3.5
RBC CAPITAL MARKETS	040	VALE	S	25,000	32.02	n/a	n/a	1,000.00	4.0
GRUSS CAPITAL	025	VOD	B	10,000	25.72	n/a	n/a	300.00	3.0
BALYASNY ASSET MGMT	044	WYNN	SS	10,000	102.56	n/a	12-Oct	500.00	5.0
TOTAL (Trade Date):								92,667.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/08	ADAGE CAPITAL MGMT (ADAGESHORT)	030	ANF	B	200,000	42.68	n/a	11-Oct	6000.00 3.0
AO,CXL	10/08	ADAGE CAPITAL MGMT (ADAGLONG)	030	ANF	B	200,000	42.68	n/a	11-Oct	6000.00 3.0
AO,CXL	10/11	&PRO (&PROSCLOSE)	036	CPB	B	600	35.86	n/a	n/a	24.00 4.0
AO,CRT	10/11	PROSPECTOR PARTNERS LLC (PROSFOLKSA)	036	CPB	B	600	35.86	n/a	n/a	24.00 4.0
CRT	10/12	ROSEDALE CAPITAL (ROSEGS)	046	F	S	60,000	13.80	n/a	4-Oct	3000.00 5.0
AO,	10/11	ROTHSCHILD ASSET (ROTH100350)	040	NOV	B	2,050	46.75	n/a	n/a	82.00 4.0

TOTAL (AO, CXL, CRT) :**3,082.00**

TOTAL (Trade Date) :

92,667.04

TOTAL (AO, CXL, CRT) :

3,082.00

TOTAL (RUN DATE) / NFS:**95,749.04**

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