



Daily Compliance Activity Report

Trade Date: 10/25/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AET	SS	29,100	31.43	n/a	n/a	1,164.00	4.0
BALYASNY ASSET MGMT	044	ALV	SS	11,200	71.01	n/a	19-Oct	560.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	50,000	22.02	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	ANN	S	15,000	21.91	n/a	n/a	600.00	4.0
CATAPULT	040	ATW	S	25,000	31.90	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	AXL	B	50,000	9.40	n/a	19-Oct	2,000.00	4.0
AVESTA CAP	229	BAC	C	300,000	11.22	n/a	20-Oct	9,000.00	3.0
BASSWOOD PARTNERS	267	BAC	S	100,000	11.26	n/a	20-Oct	4,000.00	4.0
WAGONHOUND/NIC	289	BEAV	S	1,717	34.16	n/a	12-Oct	68.68	4.0
WHITE PINE CAPITAL	030	BEBE	S	132,575	6.59	n/a	n/a	6,628.75	5.0
BALYASNY ASSET MGMT	044	BWA	C	5,000	54.27	n/a	19-Oct	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	CHS	B	35,000	10.28	n/a	5-Feb	1,225.00	3.5
PROSPECTOR PARTNERS LLC	036	CI	B	25,100	36.69	n/a	n/a	1,004.00	4.0
TOCQUEVILLE	067	CRDN	S	10,000	24.28	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	CTXS	B	40,000	61.03	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	CX	SS	100,000	8.19	n/a	n/a	4,000.00	4.0
LATEFF MGMT	035	DAL	S	2,500	13.50	n/a	n/a	275.00	11.0
ROTHSCHILD ASSET	040	DNB	S	13,140	75.24	n/a	n/a	525.60	4.0
IRIDIAN ASSET MGMT.	036	DRC	S	19,980	38.01	n/a	n/a	999.00	5.0
IRIDIAN ASSET MGMT.	036	EMN	S	22,890	83.06	n/a	n/a	1,144.50	5.0
LATEFF MGMT	035	ENR	S	500	75.74	n/a	19-Oct	210.00	42.0
IVORY CAPITAL	034	ESV	S	335,100	47.14	n/a	n/a	6,702.00	2.0
TOCQUEVILLE	067	FMC	S	5,000	71.38	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	F	B	55,000	14.07	n/a	19-Oct	2,200.00	4.0
OZ MGMT	040	F	C	200,720	14.18	n/a	19-Oct	6,021.60	3.0
SCOPUS FUND	041	F	B	100,000	14.15	n/a	19-Oct	5,000.00	5.0
LATEFF MGMT	035	GLW	B	1,500	18.68	n/a	21-Oct	240.00	16.0
TOCQUEVILLE	067	GRA	S	10,000	32.39	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HAR	B	3,500	35.03	n/a	19-Oct	140.00	4.0
CASTLEROCK	040	IGT	B	101,273	15.17	n/a	20-Oct	4,050.92	4.0
RBC CAPITAL MARKETS	040	JBHT	B	35,000	36.69	n/a	n/a	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JCI	S	25,000	34.83	n/a	13-Oct	1,000.00	4.0
ADAGE CAPITAL MGMT	030	JCP	S	38,200	32.78	n/a	11-Oct	1,146.00	3.0
BALYASNY ASSET MGMT	044	JWN	SS	50,000	37.56	n/a	11-Oct	2,500.00	5.0
RBC CAPITAL MARKETS	040	JWN	B	15,000	37.96	n/a	11-Oct	600.00	4.0
KLEINHEINZ CAP PART	031	LAZ	B	75,000	35.96	n/a	25-Oct	3,750.00	5.0
GRANITE CAPITAL	028	LEA	S	6,000	85.33	n/a	19-Oct	300.00	5.0
ENTRUST CAPITAL	040	LEG	B	41,600	20.43	n/a	n/a	2,080.00	5.0
NOMURA CAPITAL	029	LYB	S	15,000	27.76	n/a	n/a	450.00	3.0
CR INTRINIC INVESTMENT	044	MNTA	SS	25,000	15.14	n/a	n/a	875.00	3.5
DIAMONDBACK CAP MGMT	232	M	B	50,000	22.55	n/a	11-Oct	2,500.00	5.0
SAC ENERGY GS-BOB	044	NBR	B	50,000	19.48	n/a	n/a	1,750.00	3.5
JP MORGAN VENTURES	046	NWL	B	15,000	18.27	n/a	n/a	750.00	5.0
BENNETT LAWRENCE	028	OPEN	B	8,180	61.03	n/a	n/a	327.20	4.0
BROADARCH CAP/OLD NEWC	070	PCL	B	4,000	36.99	n/a	18-Oct	160.00	4.0
BUCK CAPITAL MGMT	001	PIR	B	50,000	8.25	n/a	n/a	1,500.00	3.0
MORTAR ROCK	033	PKG	B	20,000	24.43	n/a	19-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	PVH	S	21,632	62.74	n/a	18-Oct	865.28	4.0
BASSWOOD PARTNERS	267	ROP	SS	35,100	70.70	n/a	n/a	1,404.00	4.0
COBALT	041	SLM	B	56,500	11.65	n/a	20-Oct	2,825.00	5.0
BNP PARIBAS SEC	040	SVNT	B	15,000	11.88	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	TCK	B	50,000	45.21	n/a	n/a	2,000.00	4.0
ARMATURE CAPITAL	041	UPS	S	15,000	69.52	n/a	n/a	600.00	4.0
TALKOT CAPITAL LLC	084	USG	S	10,000	12.98	n/a	22-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	VFC	B	15,000	85.71	n/a	22-Oct	600.00	4.0
TOCQUEVILLE	067	VSH	S	64,500	10.65	n/a	n/a	3,225.00	5.0
CASTLEROCK	040	WRC	SS	19,330	55.89	n/a	18-Oct	773.20	4.0
FRIESS MGMT	033	XRX	B	714,500	11.65	n/a	n/a	28,580.00	4.0
TRUSTCO/SUNTRUST	040	XRX	S	47,485	11.64	n/a	n/a	1,661.98	3.5
TOTAL (Trade Date) :								129,831.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/22	NOMURA CAPITAL (NOMUL3)	029	QUAD	S	409	45.63	n/a	n/a	12.27	3.0
AO,	10/22	NOMURA CAPITAL (NOMUEB6J)	029	QUAD	S	1,935	45.63	n/a	n/a	58.05	3.0
AO,	10/22	NOMURA CAPITAL (NOMULASERS)	029	QUAD	S	1,451	45.63	n/a	n/a	43.53	3.0
AO,	10/22	NOMURA CAPITAL (NOMUSPH)	029	QUAD	S	409	45.63	n/a	n/a	12.27	3.0
AO,	10/22	NOMURA CAPITAL (NOMU7MS7)	029	QUAD	S	796	45.63	n/a	n/a	23.88	3.0
TOTAL (AO, CXL, CRT) :										150.00	

TOTAL (Trade Date) :	129,831.71
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TOTAL (RUN DATE) / NFS :	129,981.71
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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