



Daily Compliance Activity Report

Trade Date: 12/02/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	ANF	S	5,000	54.84	n/a	30-Nov	200.00	4.0
SNYDER CAPITAL	033	ANR	S	121,595	53.07	n/a	n/a	4,863.80	4.0
LAGRANGE CAP ADV	048	AN	SS	15,000	27.00	n/a	29-Oct	750.00	5.0
PATTEN & PATTEN	067	APD	S	100	88.59	n/a	26-Nov	5.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	426,209	23.68	n/a	2-Dec	17,048.36	4.0
SIGMA CAP BOBBY	044	AVY	SS	20,000	39.67	n/a	27-Oct	700.00	3.5
BAIRD INVESTMENT	047	A	B	15,325	36.80	n/a	n/a	766.25	5.0
LEVIN CAPITAL STRATEGIES	012	BEC	B	10,000	56.16	n/a	n/a	300.00	3.0
MILLRACE FUND LP	028	BIG	B	7,000	30.92	n/a	1-Dec	280.00	4.0
TALKOT CAPITAL LLC	084	BIG	S	15,000	30.96	n/a	1-Dec	450.00	3.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.61	n/a	n/a	800.00	4.0
Ñ Nilsa Vazquez		BZH	B	2000	4.6720	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	CB	SS	60,000	58.26	n/a	n/a	2,400.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,700	100.01	n/a	2-Dec	188.00	4.0
TALKOT CAPITAL LLC	084	CVGI	B	12,500	15.30	n/a	n/a	375.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IVORY CAPITAL	034	C	S	250,000	4.36	n/a	18-Nov	5,000.00	2.0
METROPOLITAN CAPITAL	044	DAN	S	33,900	16.01	n/a	29-Oct	1,695.00	5.0
SURSUM CAPITAL	215	DPZ	B	25,000	14.95	n/a	29-Nov	750.00	3.0
M&I FUNDS	047	DTV	B	25,000	41.07	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	ETN	S	100	99.64	n/a	15-Nov	5.00	5.0
CENTURION PARTNERS	041	FL	S	15,000	19.04	n/a	19-Nov	600.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	10,000	39.29	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	GD	S	100	67.95	n/a	29-Oct	5.00	5.0
KADE CAPITAL LLC	028	GIL	S	17,500	29.14	n/a	18-Oct	875.00	5.0
SURSUM CAPITAL	215	GIL	B	25,000	29.08	n/a	18-Oct	750.00	3.0
SIGMA CAP BOBBY	044	GM	B	20,000	34.67	n/a	1-Feb	700.00	3.5
SAC COHEN	044	GPS	B	500,000	21.49	n/a	n/a	17,500.00	3.5
SIGMA CAP BOBBY	044	GPS	B	30,000	21.71	n/a	n/a	1,050.00	3.5
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	21.50	n/a	n/a	1,750.00	3.5
LISTED ERR	099	GVA	B	10	27.10	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	HBI	B	20,000	27.27	n/a	28-Oct	600.00	3.0
SURSUM CAPITAL	215	HGG	B	20,000	25.51	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	HTZ	B	25,000	12.94	n/a	n/a	875.00	3.5
PATTEN & PATTEN	067	IEF	S	100	95.93	n/a	n/a	5.00	5.0
ELM RIDGE ADVISORS	044	IP	S	182,200	25.87	n/a	27-Oct	7,288.00	4.0
BERMAN CAPITAL MGMT	046	JCP	B	20,000	34.83	n/a	30-Nov	600.00	3.0
DELTEC ASSET MGMT.	040	JNY	B	10,000	14.00	n/a	28-Oct	500.00	5.0
SURSUM CAPITAL	215	JNY	B	11,500	14.00	n/a	28-Oct	345.00	3.0
DELTEC ASSET MGMT.	040	JWN	B	5,000	42.20	n/a	30-Nov	250.00	5.0
LISTED ERR	099	KFY	S	15,386	17.56	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	KMB	B	100	61.64	n/a	27-Oct	5.00	5.0
PATTEN & PATTEN	067	LAZ	S	23,000	37.48	n/a	12-Nov	1,150.00	5.0
TYEE/TYGH	035	LKQX	S	50,000	22.06	n/a	n/a	2,000.00	4.0
SIGMA CAP BOBBY	044	MMM	SS	20,000	86.91	n/a	28-Oct	700.00	3.5
BASIX	033	MTW	B	60,000	11.83	n/a	1-Nov	1,800.00	3.0
PATTEN & PATTEN	067	NUE	S	925	40.07	n/a	n/a	46.25	5.0
S.A.C. HEALTHCARE BOBBY	044	OCR	S	15,000	22.96	n/a	n/a	525.00	3.5
UNITED STATES PENSION	085	PCH	S	18,176	32.64	n/a	29-Oct	727.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	PCL	S	10,000	36.90	n/a	26-Oct	400.00	4.0
TRELLUS PARTNERS LP	028	PCL	B	10,000	37.00	n/a	26-Oct	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PHG	S	25,000	28.77	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	69.61	n/a	18-Oct	1,200.00	4.0
BAIRD INVESTMENT	047	ROK	B	15,600	68.52	n/a	n/a	780.00	5.0
MILLENIUM PARTNERS	028	RYN	B	20,000	51.89	n/a	27-Oct	800.00	4.0
HARVEST MGMT	029	SBUX	B	15,000	32.66	n/a	2-Dec	750.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	22.49	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	SLB	S	50,000	80.53	n/a	n/a	1,500.00	3.0
BERMAN CAPITAL MGMT	046	SPY	B	10,000	121.61	n/a	n/a	300.00	3.0
BERMAN CAPITAL MGMT	046	SPY	S	10,000	121.92	n/a	n/a	300.00	3.0
FIRST NY SEC/CHRIS	041	TGT	B	15,000	58.66	n/a	2-Dec	750.00	5.0
WEINTRAUB CAPITAL MGT.	040	TIN	B	25,000	22.18	n/a	20-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	40,000	11.53	n/a	n/a	1,600.00	4.0
DELTEC ASSET MGMT.	040	TLB	B	40,000	11.43	n/a	n/a	2,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TLB	B	25,000	11.44	n/a	n/a	875.00	3.5
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	36.52	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TTES	S	7,300	36.69	n/a	n/a	292.00	4.0
SANDLER CAPITAL	226	VMW	C	42,200	84.49	n/a	n/a	2,532.00	6.0
S.A.C. CAP/ORENSTEIN	044	WY	SS	90,000	17.41	n/a	29-Oct	3,150.00	3.5
SAC CHICAGO ANDREW	031	XRT	B	100,000	47.51	n/a	n/a	3,500.00	3.5
PATTEN & PATTEN	067	X	B	1,680	50.68	n/a	n/a	84.00	5.0
SURSUM CAPITAL	215	ZUMZ	SS	75,000	30.62	n/a	n/a	2,250.00	3.0
TOTAL (Trade Date) :								110,035.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/01	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00 3.0
AO,CXL	12/01	SCHOTTENFELD ASSOC (SCHOASSOC)	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00 3.0
AO,	12/01	COOPER CREEK PART (COOPJPM)	028	BIG	B	2,005	30.92	n/a	1-Dec	80.20 4.0
AO,	12/01	COOPER CREEK PART (COOPGS)	028	BIG	B	37,995	30.92	n/a	1-Dec	1519.80 4.0
AO,CXL	12/01	COUGAR TRADING (COUGCITI)	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00 5.0
AO,CRT	12/01	COUGAR TRADING (COUGPB MS)	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00 5.0
AO,	12/01	LISTED ERR (LISTED ERR)	099	GVA	S	10	26.95	n/a	n/a	0.00 0.0
AO,	12/01	LOMBARDIA CAP MGMT (LOMBNYSTSC)	084	GVA	B	8,675	26.95	n/a	n/a	347.00 4.0
AO,	12/01	LOMBARDIA CAP MGMT (LOMBDCRESC)	084	GVA	B	2,535	26.95	n/a	n/a	101.40 4.0
AO,	12/01	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	9,386	29.96	n/a	n/a	281.58 3.0
AO,	12/01	NOMURA CAPITAL (NOMUSW7Y)	029	LYBB	S	11,321	29.96	n/a	n/a	339.63 3.0
AO,	12/01	NOMURA CAPITAL (NOMUNOMIR)	029	LYBB	S	2,029	29.96	n/a	n/a	60.87 3.0
AO,	12/01	NOMURA CAPITAL (NOMUL3)	029	LYBB	S	1,674	29.96	n/a	n/a	50.22 3.0
AO,	12/01	NOMURA CAPITAL (NOMUEB6J)	029	LYBB	S	5,040	29.96	n/a	n/a	151.20 3.0
AO,	12/01	NOMURA CAPITAL (NOMULASERS)	029	LYBB	S	5,035	29.96	n/a	n/a	151.05 3.0
AO,	12/01	NOMURA CAPITAL (NOMUAYCB)	029	LYBB	S	16,237	29.96	n/a	n/a	487.11 3.0
AO,	12/01	NOMURA CAPITAL (NOMUSPH)	029	LYBB	S	1,911	29.96	n/a	n/a	57.33 3.0
AO,	12/01	NOMURA CAPITAL (NOMU7MS7)	029	LYBB	S	17,782	29.96	n/a	n/a	533.46 3.0
TOTAL (AO, CXL, CRT) :										4,160.85

TOTAL (Trade Date) :

110,035.70

TOTAL (AO, CXL, CRT):

4,160.85

TOTAL (RUN DATE) / NFS:

114,196.55

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