



Daily Compliance Activity Report

Trade Date: 11/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AMRN	B	31,500	3.58	n/a	n/a	1,575.00	5.0
CATAPULT	040	BEAT	B	25,000	4.68	n/a	n/a	1,250.00	5.0
KLEINHEINZ CAP PART	031	BEXP	B	50,000	24.86	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	42.31	n/a	n/a	800.00	4.0
STATE TEACHERS RET SYS	047	BRE	S	10,000	44.01	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.75	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	CL	SS	15,000	78.86	n/a	8-Nov	600.00	4.0
BUCK CAPITAL MGMT	001	COH	B	40,000	52.67	n/a	27-Oct	1,600.00	4.0
GALT INVESTMENT	041	CROX	S	25,000	15.76	n/a	n/a	1,000.00	4.0
AMBER CAPITAL	046	C	B	500,000	4.35	n/a	12-Nov	10,000.00	2.0
REINHART & MAHONEY	047	DCOM	S	4,950	14.59	n/a	n/a	247.50	5.0
BUCK CAPITAL MGMT	001	DRI	B	10,000	49.29	n/a	15-Oct	400.00	4.0
FIRST NY SEC/CHRIS	041	F	SS	50,000	17.11	n/a	4-Nov	2,500.00	5.0
OZ MGMT	040	F	C	118,417	17.30	n/a	4-Nov	3,552.51	3.0
ROSEDALE CAPITAL	046	F	S	25,000	17.23	n/a	4-Nov	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	B	40,000	26.67	n/a	18-Oct	1,600.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GME	SS	100,000	20.82	n/a	n/a	3,000.00	3.0
STATE TEACHERS RET SYS	047	HCN	S	10,000	47.20	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	HMN	S	53,600	16.90	n/a	n/a	2,144.00	4.0
GRUSS CAPITAL	025	HOGS	S	5,000	21.63	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	10,000	58.88	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	KO	S	100,000	63.16	n/a	26-Oct	5,000.00	5.0
OZ MGMT	040	LOW	C	80,000	22.01	n/a	15-Nov	2,400.00	3.0
TRUSTCO/SUNTRUST	040	LOW	B	194,150	21.71	n/a	15-Nov	6,795.32	3.5
MOORE CAPITAL	028	MAT	S	35,000	23.65	n/a	n/a	1,400.00	4.0
DALTON GREINER	012	MLI	S	11,300	30.51	n/a	19-Oct	565.00	5.0
FARALLON CAP MGMT	040	MSFT	B	500,000	26.26	n/a	n/a	15,000.00	3.0
UNITED STATES PENSION	085	MSFT	S	155,000	26.33	n/a	n/a	7,750.00	5.0
ROTHSCHILD ASSET	040	NAL	S	44,344	13.42	n/a	n/a	1,773.76	4.0
COHE & STEERS	041	PCL	S	216,681	37.78	n/a	26-Oct	8,667.24	4.0
COLUMBUS CIRCLE	036	PCS	B	165,007	11.77	n/a	n/a	6,600.28	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	PEP	B	130,000	64.83	n/a	n/a	6,500.00	5.0
BMO NESBITT BURNS	041	PKG	B	3,000	25.08	n/a	19-Oct	300.00	10.0
COHE & STEERS	041	RYN	S	143,281	52.60	n/a	27-Oct	5,731.24	4.0
VISIUM/BALY BOBBY	044	SBUX	S	25,000	30.30	n/a	5-Nov	1,250.00	5.0
LATEFF MGMT	035	SFG	B	500	43.41	n/a	n/a	140.00	28.0
BMO NESBITT BURNS	041	SSCC	S	2,000	22.56	n/a	2-Nov	200.00	10.0
KLEINHEINZ CAP PART	031	SWN	B	25,000	38.00	n/a	29-Oct	1,250.00	5.0
S.A.C.HABER/BOBBY	044	WFC	B	100,000	28.13	n/a	12-Nov	3,500.00	3.5
DELTEC ASSET MGMT.	040	WFT	S	14,000	19.33	n/a	n/a	700.00	5.0
TOTAL (Trade Date) :								111,891.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/15	ROSEDALE CAPITAL (ROSEGS)	046	F	S	25,000	17.23	n/a	4-Nov	1250.00 5.0
AO,CXL	10/28	EMERSON CAPITAL MGMT (EMEREMERSO)	048	HBI	B	18,256	25.44	n/a	28-Oct	730.24 4.0
AO,CRT	10/28	EMERSON CAPITAL MGMT (EMEREMERSO)	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68 3.0
AO,CXL	11/12	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	KR	B	5,460	22.73	n/a	n/a	191.10 3.5
AO,CRT	11/12	SAC TRADING TOM LEDDY (SACHGS)	035	KR	B	5,460	22.73	n/a	n/a	191.10 3.5

TOTAL (AO, CXL, CRT) :**1,067.44**

TOTAL (Trade Date) :**111,891.85****TOTAL (AO, CXL, CRT) :****1,067.44**

TOTAL (RUN DATE) / NFS:**112,959.29**

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