



Daily Compliance Activity Report

Trade Date: 10/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	300	301.00	n/a	n/a	9.00	3.0
HOPLITE MGMT	025	ADTN	SS	168,000	33.00	n/a	n/a	8,400.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AEO	B	24,600	17.21	n/a	11-Oct	738.00	3.0
SENATOR INVESTMENT GROUP	036	ANR	B	100,000	47.08	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	APC	B	1,300	58.48	n/a	30-Sep	39.00	3.0
PLATTE RIVER CAPITAL	240	ARM	B	20,000	17.23	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	27.13	n/a	11-Oct	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	C	25,000	13.28	n/a	8-Oct	1,250.00	5.0
CAVU CAP ADV	028	BYD	B	25,000	8.43	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	028	BYD	B	25,000	8.39	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	CFR	B	9,400	54.34	n/a	n/a	376.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	120,000	11.26	n/a	5-Feb	4,800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	50,000	11.15	n/a	5-Feb	1,750.00	3.5
PARAMETER CAPITAL MGMT LLC	044	CYN	B	18,300	54.96	n/a	n/a	732.00	4.0
ROTHSCHILD ASSET	040	CYT	S	7,400	60.56	n/a	n/a	296.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WALL STREET CAPITAL	084	C	B	40,000	4.29	n/a	8-Oct	1,400.00	3.5
TALKOT CAPITAL LLC	084	FINL	S	20,000	15.57	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	FIS	B	16,700	27.79	n/a	n/a	501.00	3.0
BASIX	033	FL	S	42,000	15.67	n/a	20-Aug	1,260.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	SS	12,500	13.66		n/a 4-Oct	625.00	5.0
HOPLITE MGMT	025	GMCR	B	167,209	29.52	n/a	n/a	8,360.45	5.0
RWC PARTNERS LTD	067	GOOG	S	46,262	545.03	n/a	n/a	1,387.86	3.0
Õ Ravi Sadarangani		GOOG	S	100544	4.000	n/a	n/a	0.00	0.0
GCORE MANAGEMENT	041	HRB	SS	20,000	14.09	n/a	n/a	1,000.00	5.0
BARROW HANLEY MEWHINNEY	031	INTC	S	250,000	19.23	n/a	n/a	8,750.00	3.5
BMO NESBITT BURNS	041	IP	SS	30,000	23.04	n/a	7-Oct	1,500.00	5.0
M&I FUNDS	047	JCI	B	15,337	31.93	n/a	13-Oct	613.48	4.0
RBC CAPITAL MARKETS	040	JCI	B	20,000	32.67	n/a	13-Oct	800.00	4.0
PARAMETER CAPITAL MGMT LLC	044	JPM	S	50,000	40.11	n/a	8-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	100,000	6.86	n/a	7-Oct	3,000.00	3.0
PIONEER PATH	226	LIZ	B	61,500	6.79	n/a	7-Oct	1,845.00	3.0
DC CAPITAL	044	LNC	S	75,000	25.65	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERCHANTS GATE CAP LP	036	LOW	B	65,900	22.00	n/a	16-Aug	2,636.00	4.0
THE JAY GOLDMAN	028	MGM	B	25,000	12.36	n/a	13-Oct	1,000.00	4.0
RBC CAPITAL MARKETS	040	MON	S	15,000	54.40	n/a	11-Oct	600.00	4.0
EPOCH INV MGMT	030	MOS	S	2,650	67.88	n/a	n/a	79.50	3.0
WEISS PECK	040	PAG	B	100,000	13.66	n/a	11-Oct	5,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	23.37	n/a	7-Oct	2,500.00	5.0
RBC CAPITAL MARKETS	040	PKG	B	40,000	23.87	n/a	7-Oct	1,600.00	4.0
SCHOTTENFELD ASSOC	041	PKG	S	25,000	23.50	n/a	7-Oct	750.00	3.0
PZENA INV ADV	044	PNC	B	35,825	53.56	n/a	n/a	1,253.92	3.5
SONTERRA CAP	041	PTEN	SS	30,000	18.15	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	RE	S	3,000	83.15	n/a	n/a	90.00	3.0
BUCK CAPITAL MGMT	001	RL	B	20,000	94.66	n/a	5-Aug	800.00	4.0
BMO NESBITT BURNS	041	RYN	B	6,000	49.63	n/a	26-Aug	360.00	6.0
COHE & STEERS	041	RYN	S	1,300	49.20	n/a	26-Aug	52.00	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	35,000	50.19	n/a	26-Aug	1,750.00	5.0
TRUST CO/COWEN/CALF.	040	SLE	S	486,735	14.77	n/a	n/a	19,469.40	4.0
COHE & STEERS	041	SPG	S	22,600	97.47	n/a	n/a	904.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEDBUSH/PACIFIC GROWTH EQTY LLC084		SSCC	B	5,000	21.62		n/a 7-Oct	250.00	5.0
ROSEDALE CAPITAL	046	SWN	S	10,000	34.66	n/a	30-Sep	500.00	5.0
THE JAY GOLDMAN	028	TGT	B	20,000	54.85	n/a	11-Oct	800.00	4.0
GEORGE WEISS	034	TIN	C	25,000	19.76	n/a	7-Oct	1,000.00	4.0
TRAFELET & COMP.	028	TIN	C	175,000	20.01	n/a	7-Oct	7,000.00	4.0
BENNETT LAWRENCE	028	TPX	B	15,900	32.53	n/a	n/a	636.00	4.0
PZENA INV ADV	044	UNF	B	2,975	46.76	n/a	n/a	104.13	3.5
SANDLER CAPITAL	226	VZ	S	115,000	32.43	n/a	n/a	6,900.00	6.0
KLEINHEINZ CAP PART	031	WHR	B	30,000	87.10	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	12,100	55.38	n/a	13-Oct	484.00	4.0
CATAPULT	040	WY	B	25,000	15.97	n/a	26-Aug	1,000.00	4.0
TOTAL (Trade Date) :								124,251.74	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/11	THE JAY GOLDMAN (GOLDGSBULK)	028	MPEL	B	50,000	5.65	n/a	4-Oct	2000.00 4.0
AO,CRT	10/11	THE JAY GOLDMAN (GOLDGSBULK)	028	MPEL	B	50,000	5.65	n/a	4-Oct	1500.00 3.0

TOTAL (AO, CXL, CRT) :	-500.00
-------------------------------	----------------

TOTAL (Trade Date) :	124,251.74
TOTAL (AO, CXL, CRT) :	-500.00

TOTAL (RUN DATE) / NFS:	123,751.74
--------------------------------	-------------------

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