



## Daily Compliance Activity Report

Trade Date: 11/29/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	ADI	S	317,890	35.53	n/a	n/a	15,894.50	5.0
BMO NESBITT BURNS	041	AMAG	S	4,000	16.06	n/a	n/a	280.00	7.0
BERMAN CAPITAL MGMT	046	AMR	S	20,000	8.45	n/a	n/a	600.00	3.0
BNP PARIBAS SEC	040	ASH	SS	10,000	50.52	n/a	8-Nov	500.00	5.0
ARMATURE CAPITAL	041	AXL	SS	45,000	10.76	n/a	1-Nov	1,800.00	4.0
CATAPULT	040	AXP	S	3,000	42.30	n/a	24-Nov	120.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>41.09</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
M&I FUNDS	047	BIG	B	44,061	30.57	n/a	23-Nov	1,762.44	4.0
NEUBERGER BERMAN	036	BRKL	B	16,324	9.98	n/a	n/a	652.96	4.0
NOMURA CAPITAL	029	CHMT	S	14,091	14.33	n/a	n/a	422.73	3.0
BERMAN CAPITAL MGMT	046	CHS	B	3,000	12.09	n/a	5-Feb	90.00	3.0
CATAPULT CAP/DEFRANCO	040	COT	B	49,500	8.20	n/a	n/a	1,980.00	4.0
ROSEDALE CAPITAL	046	COT	S	20,000	8.26	n/a	n/a	800.00	4.0
AVESTA CAP	229	CREE	S	50,000	64.90	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,900	96.01	n/a	16-Nov	116.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	CYT	S	10,000	48.72	n/a	n/a	500.00	5.0
COLUMBIA PARTNERS	028	DCI	B	52,221	54.28	n/a	n/a	2,088.84	4.0
GREEN ARROW DOUG	040	DF	B	25,000	7.35	n/a	n/a	1,250.00	5.0
STRONG/MARK GRONET	030	DLM	S	28,800	18.84	n/a	n/a	1,152.00	4.0
ARMATURE CAPITAL	041	DUK	SS	70,000	17.50	n/a	n/a	2,800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	EAT	C	200,000	20.10	n/a	n/a	6,000.00	3.0
IRIDIAN ASSET MGMT.	036	EXH	B	67,070	22.95	n/a	22-Oct	3,353.50	5.0
NEUBERGER BERMAN	036	FFIN	B	3,900	48.54	n/a	n/a	156.00	4.0
COOKBIELER	028	FLO	B	85,494	25.95	n/a	n/a	3,419.76	4.0
BUTTE CAPITAL MGMT LLC	084	FL	B	10,000	19.00	n/a	19-Nov	500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	FL	B	12,500	19.06		n/a 19-Nov	625.00	5.0
BERMAN CAPITAL MGMT	046	GES	B	8,000	48.51	n/a	24-Nov	240.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	48.81	n/a	24-Nov	4,500.00	3.0
IRIDIAN ASSET MGMT.	036	INTC	C	100,390	21.29	n/a	n/a	3,011.70	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>101,800</b>	<b>13.50</b>	<b>n/a</b>	<b>28-Oct</b>	<b>4,072.00</b>	<b>4.0</b>
SURSUM CAPITAL	215	JNY	B	25,000	13.50	n/a	28-Oct	750.00	3.0
BERMAN CAPITAL MGMT	046	JPM	S	5,000	37.68	n/a	18-Nov	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	KR	B	42,800	22.89	n/a	n/a	1,712.00	4.0
SENVEST PART	085	LVS	S	10,000	50.31	n/a	11-Nov	500.00	5.0
BNP PARIBAS SEC	040	LYB	S	10,000	29.28	n/a	n/a	500.00	5.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>MET</b>	<b>B</b>	<b>3,500</b>	<b>37.56</b>	<b>n/a</b>	<b>n/a</b>	<b>140.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>30,000</b>	<b>28.20</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
AVESTA CAP	229	M	S	100,000	25.42	n/a	11-Nov	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>30,000</b>	<b>25.41</b>	<b>n/a</b>	<b>11-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
ARMATURE CAPITAL	041	NU	B	30,000	31.15	n/a	n/a	1,200.00	4.0
BARROW HANLEY MEWHINNEY	031	PFE	B	218,900	16.37	n/a	n/a	7,661.50	3.5
LEVEL GLOBAL SHARED ACCT	257	PNRA	S	20,000	98.77	n/a	27-Oct	600.00	3.0
FIRST NEW YORK NICK	029	Q	S	20,000	6.97	n/a	n/a	1,000.00	5.0
SURSUM CAPITAL	215	RL	B	20,000	107.67	n/a	11-Nov	600.00	3.0
MERRILL ASSET/BLACKROCK	266	SKT	S	20,300	48.00	n/a	n/a	812.00	4.0
ROTHSCHILD ASSET	040	SMG	B	11,150	50.31	n/a	5-Nov	446.00	4.0
SURSUM CAPITAL	215	TLB	B	25,000	11.07	n/a	n/a	750.00	3.0
STRONG/WELLS CAP ANN F	047	TRW	S	90,700	47.09	n/a	n/a	3,628.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TTES	S	4,800	35.34	n/a	n/a	192.00	4.0
SURSUM CAPITAL	215	VFC	SS	10,000	82.04	n/a	22-Oct	300.00	3.0
TYEE/TYGH	035	WRC	B	47,971	52.61	n/a	9-Nov	1,918.84	4.0
LISTED ERR	099	WRC	S	180	53.00	n/a	9-Nov	0.00	0.0
SURSUM CAPITAL	215	WSM	B	20,000	33.52	n/a	n/a	600.00	3.0
MATRIX ASSET ADV.	091	WU	B	3,000	17.71	n/a	n/a	90.00	3.0
TOTAL (Trade Date):								89,537.77	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/29	BERMAN CAPITAL MGMT (BERMMS)	046	GES	B	8,000	48.51	n/a	24-Nov	240.00 3.0
AO,CXL	11/24	CAVU CAP ADV (CAVUJPM)	028	PH	S	5,000	82.01	n/a	20-Oct	250.00 5.0
AO,	11/24	CAVU CAP ADV (CAVUJPM)	028	PH	S	962	82.01	n/a	20-Oct	48.10 5.0
AO,	11/24	CAVU CAP ADV (CAVUCREDIS)	028	PH	S	4,038	82.01	n/a	20-Oct	201.90 5.0
AO,CXL	11/26	JMP ASSET MGMT (JMPABOABA)	210	RDN	B	10,000	7.16	n/a	n/a	500.00 5.0
AO,CRT	11/26	JMP ASSET MGMT (JMPABOABA)	210	RDN	B	10,000	7.16	n/a	n/a	400.00 4.0
AO,	11/26	LISTED ERR (LISTED ERR)	035	WRC	B	180	54.01	n/a	9-Nov	0.00 0.0
AO,	11/26	TYEE/TYGH (TYEE11)	035	WRC	B	125	54.01	n/a	9-Nov	5.00 4.0
AO,	11/26	TYEE/TYGH (TYEE31)	035	WRC	B	85	54.01	n/a	9-Nov	3.40 4.0
AO,	11/26	TYEE/TYGH (TYEE12)	035	WRC	B	180	54.01	n/a	9-Nov	7.20 4.0
AO,	11/26	TYEE/TYGH (TYEE49)	035	WRC	B	270	54.01	n/a	9-Nov	10.80 4.0
AO,	11/26	TYEE/TYGH (TYEE10)	035	WRC	B	31	54.01	n/a	9-Nov	1.24 4.0
AO,	11/26	TYEE/TYGH (TYEE39)	035	WRC	B	116	54.01	n/a	9-Nov	4.64 4.0
AO,	11/26	TYEE/TYGH (TYEE9)	035	WRC	B	578	54.01	n/a	9-Nov	23.12 4.0
AO,	11/26	TYEE/TYGH (TYEE40)	035	WRC	B	415	54.01	n/a	9-Nov	16.60 4.0
AO,	11/26	TYEE/TYGH (TYEE135)	035	WRC	B	1,622	54.01	n/a	9-Nov	64.88 4.0
AO,	11/26	TYEE/TYGH (TYEE43)	035	WRC	B	88	54.01	n/a	9-Nov	3.52 4.0
AO,	11/26	TYEE/TYGH (TYEE141)	035	WRC	B	9,394	54.01	n/a	9-Nov	375.76 4.0
AO,	11/26	TYEE/TYGH (TYEE44)	035	WRC	B	112	54.01	n/a	9-Nov	4.48 4.0
AO,	11/26	TYEE/TYGH (TYEE1)	035	WRC	B	1,319	54.01	n/a	9-Nov	52.76 4.0
AO,	11/26	TYEE/TYGH (TYEE45)	035	WRC	B	57	54.01	n/a	9-Nov	2.28 4.0
AO,	11/26	TYEE/TYGH (TYEE137)	035	WRC	B	788	54.01	n/a	9-Nov	31.52 4.0
AO,	11/26	TYEE/TYGH (TYEE142)	035	WRC	B	4,496	54.01	n/a	9-Nov	179.84 4.0
AO,	11/26	TYEE/TYGH (TYEE36)	035	WRC	B	70	54.01	n/a	9-Nov	2.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/26	TYEE/TYGH (TYEE38)	035	WRC	B	92	54.01	n/a	9-Nov	3.68 4.0
AO,	11/26	TYEE/TYGH (TYEE)	035	WRC	B	276	54.01	n/a	9-Nov	11.04 4.0
AO,	11/26	TYEE/TYGH (TYEE35)	035	WRC	B	253	54.01	n/a	9-Nov	10.12 4.0
AO,	11/26	TYEE/TYGH (TYEE34)	035	WRC	B	515	54.01	n/a	9-Nov	20.60 4.0
AO,	11/26	TYEE/TYGH (TYEE32)	035	WRC	B	136	54.01	n/a	9-Nov	5.44 4.0
AO,	11/26	TYEE/TYGH (TYEE33)	035	WRC	B	335	54.01	n/a	9-Nov	13.40 4.0
AO,	11/26	TYEE/TYGH (TYEE42)	035	WRC	B	111	54.01	n/a	9-Nov	4.44 4.0
AO,	11/26	TYEE/TYGH (TYEE2)	035	WRC	B	89	54.01	n/a	9-Nov	3.56 4.0
AO,	11/26	TYEE/TYGH (TYEE13)	035	WRC	B	168	54.01	n/a	9-Nov	6.72 4.0
AO,	11/26	TYEE/TYGH (TYEE50)	035	WRC	B	185	54.01	n/a	9-Nov	7.40 4.0
AO,	11/26	TYEE/TYGH (TYEE14)	035	WRC	B	274	54.01	n/a	9-Nov	10.96 4.0
AO,	11/26	TYEE/TYGH (TYEE62)	035	WRC	B	288	54.01	n/a	9-Nov	11.52 4.0
AO,	11/26	TYEE/TYGH (TYEE15)	035	WRC	B	1,541	54.01	n/a	9-Nov	61.64 4.0
AO,	11/26	TYEE/TYGH (TYEE63)	035	WRC	B	221	54.01	n/a	9-Nov	8.84 4.0
AO,	11/26	TYEE/TYGH (TYEE16)	035	WRC	B	4,017	54.01	n/a	9-Nov	160.68 4.0
AO,	11/26	TYEE/TYGH (TYEE17)	035	WRC	B	1,807	54.01	n/a	9-Nov	72.28 4.0
AO,	11/26	TYEE/TYGH (TYEE61)	035	WRC	B	349	54.01	n/a	9-Nov	13.96 4.0
AO,	11/26	TYEE/TYGH (TYEE19)	035	WRC	B	346	54.01	n/a	9-Nov	13.84 4.0
AO,	11/26	TYEE/TYGH (TYEE60)	035	WRC	B	144	54.01	n/a	9-Nov	5.76 4.0
AO,	11/26	TYEE/TYGH (TYEE20)	035	WRC	B	626	54.01	n/a	9-Nov	25.04 4.0
AO,	11/26	TYEE/TYGH (TYEE58)	035	WRC	B	599	54.01	n/a	9-Nov	23.96 4.0
AO,	11/26	TYEE/TYGH (TYEE22)	035	WRC	B	634	54.01	n/a	9-Nov	25.36 4.0
AO,	11/26	TYEE/TYGH (TYEE59)	035	WRC	B	1,764	54.01	n/a	9-Nov	70.56 4.0
AO,	11/26	TYEE/TYGH (TYEE25)	035	WRC	B	297	54.01	n/a	9-Nov	11.88 4.0
AO,	11/26	TYEE/TYGH (TYEE53)	035	WRC	B	610	54.01	n/a	9-Nov	24.40 4.0
AO,	11/26	TYEE/TYGH (TYEE26)	035	WRC	B	87	54.01	n/a	9-Nov	3.48 4.0
AO,	11/26	TYEE/TYGH (TYEE54)	035	WRC	B	232	54.01	n/a	9-Nov	9.28 4.0
AO,	11/26	TYEE/TYGH (TYEE27)	035	WRC	B	1,161	54.01	n/a	9-Nov	46.44 4.0
AO,	11/26	TYEE/TYGH (TYEE55)	035	WRC	B	1,658	54.01	n/a	9-Nov	66.32 4.0
AO,	11/26	TYEE/TYGH (TYEE3)	035	WRC	B	347	54.01	n/a	9-Nov	13.88 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/26	TYEE/TYGH (TYEE56)	035	WRC	B	1,699	54.01	n/a	9-Nov	67.96 4.0
AO,	11/26	TYEE/TYGH (TYEE4)	035	WRC	B	5,520	54.01	n/a	9-Nov	220.80 4.0
AO,	11/26	TYEE/TYGH (TYEE57)	035	WRC	B	306	54.01	n/a	9-Nov	12.24 4.0
AO,	11/26	TYEE/TYGH (TYEE6)	035	WRC	B	139	54.01	n/a	9-Nov	5.56 4.0
AO,	11/26	TYEE/TYGH (TYEE51)	035	WRC	B	68	54.01	n/a	9-Nov	2.72 4.0
AO,	11/26	TYEE/TYGH (TYEE7)	035	WRC	B	286	54.01	n/a	9-Nov	11.44 4.0
AO,	11/26	TYEE/TYGH (TYEE52)	035	WRC	B	102	54.01	n/a	9-Nov	4.08 4.0

**TOTAL (AO, CXL, CRT) :** **2,021.12**

TOTAL (Trade Date) : 89,537.77  
TOTAL (AO, CXL, CRT) : 2,021.12

**TOTAL (RUN DATE) / NFS:** **91,558.89**

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